DOCUMENT RESUME

ED 255 216 IR 051 063

TITLE	Cooperative Collection Development. SPEC Kit 111.
INSTITUTION	Association of Research Libraries, Washington, D.C. Office of Management Studies.
PUB DATE	Feb 85
NOTE	103p.
AVAILABLE FROM	Association of Research Libraries, Office of Management Studies, 1527 New Hampshire Ave., NW, Washington, DC 20036 ($20.00 per kit, prepaid).
PUB TYPE	Collected Works - General (020) -- Guides - Non-Classroom Use (055) -- Reports - Research/Technical (143)
EDRS PRICE	MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	Academic Libraries; *Consortia; Guidelines; Higher Education; *Library Collection Development; *Library Collections; *Library Cooperation; Library Networks; Research Libraries; Shared Services
IDENTIFIERS	*Resource Sharing

ABSTRACT

A review of cooperative collection development activities among Association of Research Libraries (ARL) member institutions indicates that many are involved with local, statewide, or regional consortia that develop and operate one or more fairly traditional cooperative programs. This kit contains 11 documents illustrating cooperative activities: (1) "Newsletter, Report on the Serials Review Project" (Boston Library Consortium); (2) "Guidelines for University of California Library Acquisitions with Shared Purchase Funds--Collection Development Committee" (University of California Library Council); (3) "Plan for Conducting the National Collections Inventory Project (NCIP) in the University of California Libraries" (University of California, San Diego); (4) "Report on the Task Force on Resource-Sharing Activities" (University of California, Berkeley); (5) "Coordinated Cooperative Collection Development for Illinois Libraries. Volume I: A Description" (Illinois State Library); (6) "Cooperative Acquisitions Guidelines for Slavic and East European Materials" (Indiana University and University of Michigan); (7) "Resource Guide" (selected section; Long Island Library Resources Council); (8) "Mapping Information Resources in the Pacific Northwest: An Invitation to Participate" (Fred Meyer Charitable Trust); (9) "Summary of Consortium Programs for Collection Management and Resource Sharing" (Consortium of Universities of the Washington Metropolitan Area); (10) "North American Collection Inventory Project: A Brief Description" (Office of Management Studies); and (11) "Brief Instructions for Completing Conspectus Worksheets for the North American Inventory of Research Collections" (Office of Management Studies). (THC)

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COOPERATIVE COLLECTION DEVELOPMENT

Historically, cooperative collection development among academic and research libraries has led to a number of experiments and operational approaches, but it is difficult to identify programs that have had continuing, substantive impact. Certainly the Farmington Plan had a significant effect while it lasted, and the Center for Research Libraries continues to influence libraries' local collection development efforts. But it still seems true that until very recently cooperation among libraries has had limited impact on their collection development programs.

A review of cooperative activities among ARL libraries indicates that many are involved with local, statewide or regional consortia which develop and operate one or more fairly traditional cooperative programs. These typically include: the development of union lists of serials; a communications network (usually telephone) to share information on the purchase of expensive sets; enhanced interlibrary loan service among consortium members; and, occasionally, a rapid document delivery system. While these programs have proven useful, research libraries, in particular, usually have contributed considerably more than they have received from these arrangements and the impact on individual libraries' collection development programs has been minimal.

HISTORIC OBSTACLES TO COOPERATION. There appear to be at least four major factors operating as obstacles to cooperation in collection development. The first might best be termed political and administrative and refers to the pressure from teaching and research faculty for more or less immediate access to materials, along with their perception of libraries' corresponding lack of success in developing efficient inter-institutional delivery systems. The duplication of core instructional and research programs among universities is an obvious contributor to this factor. A second limiting factor has been the lack of a recognized, standard methodology for describing and comparing collections so that groups of research libraries can have a clear sense of where relative collection strengths are located. A third factor has been the lack of accepted structures and procedures for making cooperative collection development decisions - procedures that would support mutually beneficial decisions without encroaching on individual libraries' prerogatives. Finally, until fairly recently libraries had neither the bibliographic systems nor the document delivery systems needed to support an effective cooperative program.

TECHNICAL AND ENVIRONMENTAL DEVELOPMENTS SUPPORTING COOPERATION. Several developments of recent years are leading to increased cooperative activity among academic and research libraries. Developments in bibliographic access (e.g. large, shared cataloging databases) are facilitating the location of needed materials at remote locations; advances in communication systems have reduced the time delay in transmitting and filling interlibrary loan requests; and new approaches to document delivery, including telefacsimile transmission and subsidized regional delivery systems, have further improved interlibrary loan deliveries.

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The political arena is also changing with increased interest in and attention paid to developing the governance and decision-making structures needed to design meaningful cooperation. The Research Libraries Group, Inc.(RLG), OCLC, and the Association of Research Libraries (ARL) are each working to develop new ways for libraries to cooperate nationally. Regional groups such as the ARL libraries in the Southeast are investigating approaches to cooperation on that level, and statewide programs of cooperation are advancing in states such as California and Indiana.

Finally, the movement toward greater cooperation has been fueled by the development of a standard approach to the description and assessment of library collections. The Conspectus approach to describing research library collections, developed by RLG, is becoming a North American standard with its successful testing by ARL and its three Indiana member libraries (Indiana University, University of Notre Dame and Purdue University) and the cooperative work of RLG and ARL to use the Conspectus as the basis for an online North American inventory of research library collections. Without the common language of the conspectus it has been difficult for libraries to share an understanding of what already exists in their collections and to move from that understanding to making mutually beneficial agreements in the area of collection building and maintenance.

EMERGING COOPERATIVE PROGRAMS. The developments discussed above are leading to several advances in cooperative collection development. Members of RLG are accepting primary collecting responsibility for specific subject areas listed in the Conspectus, relieving other members of the need, or perceived need, to collect at similar levels in those same areas. ARL's work with the Conspectus in the North American Collections Inventory Project has led to similar efforts among the three ARL libraries in Indiana. The experience in Indiana -- as well as that of the University of California libraries -- indicates that the inventory approach will lead to considerable progress in statewide and/or regional cooperation. For example, the Meyer Trust currently plans to utilize the Conspectus approach in supporting the development of comprehensive cooperation among all libraries in its five-state area in the Northwest. Similarly, the state of Alaska has designed a system for describing collections based on the Conspectus approach and is beginning to use those collection descriptions to make cooperative, or collaborative, decisions.

FUTURE NEEDS. It is clear that cooperative collection development will, for the immediate future, have a limited impact on individual research libraries' operations. However, it is also clear that more is being done and can be done. Libraries' users - especially research faculty and scholars - need to be informed and educated to the economic realities and technological potential facing research libraries and to the potential for fulfilling their library material needs in new ways. Libraries need to exploit technology to provide efficient interlibrary delivery of scholarly materials. They also need to develop further the traditional technologies of collection assessment and description so that cooperative collection development decisions can be supported by comparable data. But perhaps the most difficult need to fulfill will be that of designing the governance structures capable of making the decisions required for substantive cooperation without limiting individual libraries' autonomy.

The Kit on Cooperative Collection Development (#111, February 1985, 94 pages) contains 11 documents illustrating cooperative activities, including guidelines, plans, task force reports, worksheets, and program descriptions. SPEC kits are available by subscription from: SPEC, Office of Management Studies, ARL, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036. Individual kits are available for $20.00, prepaid. Outside the U.S. and Canada, add $5.00 per order for parcel post shipping. (ARL library members receive kits for $10.00).

USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents – selected for their value to administrators and decision-makers – that illustrate a wide range of alternative approaches to specific issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria:

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

EVALUATION

Kit Title/Number _____

1. Which uses did the library make of this Kit?

2. Please indicate how useful the Kit was for these purposes.

☐ Very Useful ☐ Quite Useful ☐ Somewhat Useful ☐ Not Useful

3. Do you have suggestions for this Kit or for future Kits?

(optional)

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COOPERATIVE COLLECTION DEVELOPMENT
SPEC KIT #111 FEBRUARY 1985

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Newsletter

Boston Library Consortium: An Association of Academic and Research Libraries

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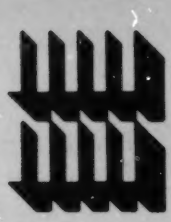

November, 1983

Volume 9 Number 2

During the past year, the Consortium has undertaken two major projects of particular significance. One of these is the new union list system developed in conjunction with F. W. Faxon which has been the subject of several reports in the Newsletter. The other is the second Serials Review Project which is the subject of this issue.

REPORT ON THE SERIALS REVIEW PROJECT - The Consortium sponsored the second Serials Review Project with the goal of reducing duplicate subscriptions to those journal titles which receive little use. It was felt that this would permit more efficient use of existing resources to cooperatively offer library users the widest range of research materials possible. Such a project has long been a goal of the Consortium as part of its efforts to deal cooperatively with some of the mounting pressures that academic and research libraries face. The greatest of these pressures is, of course, economic: expenses for acquiring and servicing journals are major factors contributing to the rapid escalation of library costs. At the same time, libraries face increasing pressures from patrons for access to research materials.

By and large, libraries have met these dual pressures through retrenchment and this is true of Consortium libraries as well, although each of the members is presently at a different point in the retrenchment process. Well established programs within the Consortium (e.g., the Union List of Serials, access via Consortium Card or Interlibrary Loan) have set a firm foundation in the cooperative use of existing collections, but little has yet been done in the area of active cooperative development and management of our total resources.

Considering Consortium resources collectively, it is clear that there is a great deal of duplication. To define this duplication more precisely, the Consortium last year conducted the first Serials Review Project. That project studied duplication and actual use of titles in two sample subject areas and revealed the existence of some duplicated titles which are little used. The specific goal of this year's project was to identify such titles in a broader subject area and to have individual libraries assume the responsibility for maintaining the copies required to meet collective needs, thus clearing the way for other Consortium libraries to implement cancellations. By concentrating cancellations on titles which it is known will continue to be available within the Consortium, we may respond to economic pressures while still meeting the needs of users.

Clearly such a program had to be approached in stages, beginning with a defined subset of total journal holdings. Because of the potential for dollar savings, the relatively small number of titles involved, and the availability of a network of

subject experts within the Consortium, the decision was made to begin with journals in the sciences. It is planned to follow this initial review in subsequent years with additional ones covering journals in the social sciences, humanities, arts, medicine, and technology.

A Serials Review Project Committee composed of science specialists and chaired by Jay Lucker, Director of Libraries at M. I. T. was appointed to manage the project. A computerized listing of duplicate periodical subscriptions within the Consortium, sorted by subject, had been generated for the previous review project and included about 1600 titles with about 8500 subscriptions roughly estimated to cost $980,000. The Committee reviewed this list and drew up a list of 166 titles which it considered to be marginal and which represented more than 700 subscriptions within the Consortium at an estimated cost of $117,000. Katz's Magazines for College Libraries, the ISI Science Citation Index impact factor, use data from the previous project (when available), and the professional judgement of Committee members were all used in selecting titles for the list. No decision was made regarding the number of copies that should be either cancelled or retained; a title was included on the list if the Committee felt that at least one of the existing copies could be cancelled.

While the Committee selected about 10% of the titles in the original list, these selections were not uniformly distributed among the various subject sub-groups. Few marginal titles were found in the life sciences while more were found in general science, mathematics, and chemistry. The higher percentage for chemistry probably reflects the availability of use data from the earlier study. The reasons for the other discrepancies are not clear. Understandably, the larger libraries were represented as holding libraries of marginal titles more frequently than smaller ones.

The titles suggested for cancellation were forwarded to the individual libraries in the spring and reviewed by them over the summer. Consequently, Consortium Libraries have offered to cancel more than 70 titles (two libraries are still in the process of review) and these subscriptions represent approximately 11% of the total subscriptionsidentified as marginal.

The actual cancellations are well distributed among the titles and, at the time of the Committee's August meeting, there was only one conflict in which two libraries were each willing to cancel the only two copies of a title available in the Consortium, and this conflict was easily resolved. In August, members were notified that they should proceed with actual cancellation.

The Committee recommended that members be queried regarding their willingness to transfer backfiles and to indicate the condition of the sets they are willing to transfer. The Consortium Office will compile a list of the sets available for such transfer and circulate it to members. Final arrangements for transfer are to be made by the libraries involved.

There has been much discussion of the commitment which should be asked of libraries maintaining copies of the titles reviewed, particularly in cases where a single subscription remains in the Consortium. Many unique copies of titles already exist within the Consortium to which holding libraries feel no particular commitment. However, it is the consensus that unique copies resulting from the Review Project should be

handled differently because libraries making the cancellations will have done so with the understanding that at least one copy of the title would remain available within the Consortium. While libraries should remain free to cancel subscriptions if necessary because of such internal reasons as financial constraints, they should notify other Consortium members of such decisions.

Since adequate and timely access to materials throughout the Consortium is a prerequisite to a successful cancellation program, the Readers' Services Committee was charged with evaluating all elements of the current interlibrary loan/document delivery process. A subcommittee designed a survey of the process which was conducted during April, 1983, and tabulated during the summer. Detailed information was collected which should be useful to individual members.

The overall turnaround time (in working days) for Consortium interlibrary loans, as revealed by the study, can be summarized as follows:

internal processing by borrowing library:	1.6
delivery of request:	.7-2.6
internal processing by lending library:	1.4
delivery of material:	2.6
total:	6.3-8.2

Reviewing the survey results, the Board of Directors and the Readers' Services Committee both felt that internal processing time could not be significantly improved, but that delivery of requests could be optimized if all members used the electronic means currently available. The Board of Directors did feel, however, that efforts should be made to improve overall ILL time and that alternatives for delivery of material should be investigated. The Readers' Services Committee is charged with investigating such alternatives, including their costs and benefits.

The 86 subscriptions to 64 titles which Consortium libraries have offered to cancel to date represent a cost savings of approximately $13,456 in subscriptions, to which must be added savings in processing and storage. While these results are perhaps smaller than originally anticipated, members have expressed satisfaction for being able to implement even a limited number of cancellations as each represents a difficult decision to reach and implement.

Balanced against these savings is the cost of performing the review itself. The initial list of duplicate titles was produced for the previous Project and so was available at no additional cost. The list, however, was out of date and much staff time was used updating it. Staff time, printing, and duplicating raised the total direct costs to $1,100. Rough estimates of professional staff time spent add an estimated $10,000 so that the overall total cost is about $11,100. In comparison to the immediate savings realized, these costs are significant. They are, however, one-time costs while the savings are annual and subject to inflation. Also, much of the staff costs do not represent additional direct costs but, rather, lost opportunites to complete other projects.

In evaluating the success of the Project, less tangible benefits should be considered. It was discovered, for example, that substantial weeding and pruning of collections

has already taken place. In many of the subject areas examined by the Committee, very few marginal titles were found. Individually, Consortium members have reviewed their holdings and have cancelled much marginal material. Collectively, the Consortium has excellent coverage in the areas of science with few major titles not available, although this needs to be further confirmed. Finally, as a consequence of the collecting policy profiles and the statistics of duplicate titles, it is clearer where the Consortium stands in the areas examined, both collectively and individually.

The Serials Review Committee made the following recommendations for future projects:

- use should be made of the more accurate information and more sophisticated sorting capabilities inherent in the new Faxon union list system and no project should be attempted until these capabilities are available;
- reliance should be placed on concrete information regarding titles rather than on review by committee;
- groundwork should be better prepared at member institutions, particularly in informing users of the potential of the Consortium;
- positive findings should be publicized;
- the ILL survey should be followed through to ensure speedy access to materials.

The Board of Directors concurred with the Committee's judgment that a modest but valid start has been made toward cooperative collection management, and also concurred with the Committee's recommendations. Priorities for the remainder of this year include exploration of improved ILL turnaround time, and completion of the union list project which will provide a source of accurate data on serials holdings. With these objectives realized, specific planning for the next phase can be undertaken.

Thanks are due to the following individuals who made special contributions to the success of the Project: Katherine Dibble, Elizabeth Fitzpayne, Suzanne Gray, Irene Laursen, Lynda Leahy, Ardelle Legg, Sally Linden, Peggy Lopata, Jay Lucker, Margaret Manion, Kathy Powers, Janet Stewart, and Doris Ann Sweet.

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February 13, 1981
Revised: Dec. 13, 1984

UNIVERSITY OF CALIFORNIA
LIBRARY COUNCIL
COLLECTION DEVELOPMENT COMMITTEE

Guidelines for University of California Library Acquisitions With Shared Purchase Funds

I. PURPOSE

The Shared Purchase Program has been instituted to acquire materials which, because of their high cost (or anticipated frequency of use), should be shared among the campuses without unnecessary duplication. The program has also been instituted to reduce competition for, and to promote sharing of, manuscript and subject area collections among the various campuses of the University of California. Stanford University is a full member of the program. However, state funds will not be used to acquire materials housed at Stanford (except for necessary indexes). Materials acquired with shared purchase funds are to be shared among the campuses on either a statewide or a regional (North, South) basis. By these means the University of California libraries seek to increase the breadth and depth of the total library resources of the University by using state allocations for library materials as effectively as possible.

II. CRITERIA

Materials purchased with shared purchase funds will be required to meet the following criteria:

1. Materials must be specifically related to the academic programs of more than one campus.

2. Items selected must be currently unavailable for shared use University-wide or on a regional basis within the UC system. However, funds may be used to assume payment of ongoing publications which meet these criteria.

3. Adequate bibliographic and physical access are absolutely essential to the effective sharing of resources. For this reason, the following access requirements must be met by materials acquired with shared purchase funds:

   a. Physical Access

      Ordinarily the holding library must agree to lend the materials to patrons from other Program libraries by direct or interlibrary loan of the original or a photocopy or microform reproduction of the original. However, shared purchase funds may be expended for materials which are usable by remote consultation through reference assistance (e.g., certain catalogs and indexes), or which must be used on site (e.g., archives, manuscripts and other special collections) if there is substantial agreement among the committee members that either alternative constitutes adequate access.

b. Bibliographic Access

Indexes or registers of the content of collections will, where available, be acquired on shared purchase funds by all campuses which request them. A library which creates such a register for a previously un-indexed shared acquisition will distribute copies of the index to all interested campuses.

4. The selection of materials requiring on-site use will not normally exceed 15% of the annual shared purchase budget.

5. Materials costing less than $1,500 (without including the price of additional indexes) will not be considered for shared purchase, with the exception of subscriptions to serial titles submitted for systemwide or regional acquisition.

6. If shared purchase funds are used to continue, extend, or complete a title or collection already held by a campus, the entire body of material is available to other campuses on the same basis as that portion acquired with shared purchase funds.

7. Binding costs and other preparation and preservation costs may be paid for by shared purchase funds at the discretion of the Committee. Such support must, however, be requested at the time a recommendation is submitted for consideration.

III. FORM OF MATERIAL

Materials which meet the above criteria may be acquired on shared purchase funds without regard to form or format of the publication. Eligible materials include (but are not limited to) the following:

1. Computer based services

Shared purchase funds may be used for purchase of access to computerized data bases, but may not be used to support hardware or staffing costs.

2. Serials

Serials are not limited to last subscription in the state or region. Efforts will be made to identify low use serials important to research and to support the purchase of one or two copies of those titles determined to be necessary in the UC system. This concept may be extended to important new journals. Increasing interaction between the University of California libraries and the Center for Research Libraries (and/or other sources) may reduce this category of purchase in the future.

3. Newspapers

Microform subscriptions and backfiles may be bought, and funds may also be allocated for the preservation filming of newsprint backfiles which are currently held by a UC campus and which are of Systemwide value.

4. Archival and manuscript collections

A limited amount of shared purchase funds may be spent for archival and manuscript materials, ordinarily not more than 15% of the annual shared purchase budget. If purchase is approved, a guide is to be made available to other campuses within a reasonable period of time. The archives or manuscript collections restricted to an individual living author should ordinarily not be acquired with shared purchase funds.

5. Facsimiles

Facsimiles may be purchased only if they are lendable. For this type of material, loans will usually be from one rare book room to another. Facsimiles restricted to on-site use are ineligible.

6. Library catalogs

Such catalogs may be purchased only if they are lendable in whole or part.

7. Guides, Indexes, etc.

Guides, indexes and other access resources for collections (or other materials) requested on shared purchase funds which are already held by a Program Library should be considered as potential shared acquisitions for UC campuses not holding the guides to the material. The collection requested, however, must meet shared purchase criteria.

8. Dissertations

Requests for collections of dissertations or theses are discouraged.

Among the questions to be addressed by the Committee is the propriety of using shared acquisitions funds for Systemwide preservation efforts, i.e., the physical restoration and/or microcopying of original materials held by UC libraries meeting shared purchase criteria.

IV. LOCATION

The criteria for the location of shared purchase materials will include academic programs, strength of collections, projected use and a reasonable consideration of equity in the distribution of shared purchase funds or materials among the campuses. Especially appropriate handling capabilities of unusual materials in a particular library (e.g. particularized servicing or existing in-library hardware) will also be considered by the Committee. The accessibility of materials should be a factor only with materials which must be used on site or which may more effectively be used in conjunction with other scholarly resources at that location.

V. OWNERSHIP

Materials acquired with shared purchase funds will be included in the holdings of the campus designated to acquire, hold, and service them. The physical and/or bibliographic availability of the material to other campuses must be assured, but special marking of the material will not be necessary unless it is required to insure this availability.

VI. ADMINISTRATION

The program will be administered by the Assistant Vice President for Library Plans and Policies. The Library Council's Collection Development Committee consisting of the principal Collection Development Officers on each campus, a representative of the Office of the Assistant Vice President for Library Plans and Policies, a representative from Library Council, and a statewide LAUC representative will review and recommend the titles to be acquired with shared purchase funds. The Committee's selections are subject to the approval of the Assistant Vice President for Library Plans and Policies. The Committee chair will alternate on a north-south basis among the campus collection development officers, each Chair serving a two-year term.

VII. RELATED CONSIDERATIONS

1. Bibliographic Access

It is generally not practical to incorporate catalog cards for massive microform collections, etc., acquired with shared purchase funds in the public catalog of any campus library except that of the library holding the material. Registers and indexes will provide partial access to materials on other campuses. The Committee is also attempting to improve bibliographic access to shared purchase items in other ways. The Committee encourages the production of special access tools such as a union list of microform collections and an annual cumulative list of materials that have been acquired with shared purchase funds. However, the program's full usefulness will not be achieved until the nine campuses consult common bibliographic data files.

2. Physical Access

The program's success is dependent on effective interlibrary loan and delivery procedures between campuses. Support for efficient delivery systems and transmission of information is essential to cooperative collection development programs.

Guidelines for University of California Library Acquisitions With Shared Purchase Funds

SELECTION, ORDERING, AND RECORD KEEPING PROCEDURES

Collection Development Officers (CDO's) on each campus will make recommendations for items to be purchased from the shared purchase funds. Recommendations will be batched and considered in one or more groups each fiscal year. The steps to be followed in the review and allocation processes are noted below:

1. Submission of Consideration Forms (Form A)

   The CDO on each campus will make recommendations for items to be purchased on a consideration form (see Attachment 1) following the established criteria for the shared purchase program. A separate consideration form will be used for each item recommended for acquisition with shared purchase funds. The total costs for each recommended acquisition, including recurring costs, the cost of guides and/or catalog cards, etc. should be carefully defined. In addition the means of bibliographic and/or physical access should be carefully described. Copies of this form will be sent by the requesting CDO to the CDO on each of the other nine campuses. (Deadline for mailing recommendations for the first review period: the first Friday of November.)

2. Campus Review of Shared Purchase Recommendations

   The CDO on each campus will review the forms received from all campuses, group them by item and prepare a response for each item in the space provided at the bottom of the form. A priority rating based on the Committee's Priority Rating Guide (Appendix II) shall be assigned to each item. The responses of each campus will be sent to the CDO Chair. Only one response should be prepared for each item regardless of the number of consideration forms received for that item. That response, however, should be made with due regard for all of the recommendations submitted. (Deadline for mailing: Third Friday of December.)

3. Tabulation of Campus Recommendation on the Summary Form (Form B)

   The Chair will tabulate and summarize the responses for each recommendation on a Summary Form (see Attachment 2). The Chair will also compile a master list of all recommendations and assign an identity number to each item submitted for review. Each item will be assigned an overall priority rating based on the priority ratings assigned each item by the campuses. The "Decision Box" portion of the Summary Form should not be filled out by the Chair for any recommendation prior to the Committee's Shared Purchase Review meetings. The Chair will send copies of the Summary Form, master list, and overall priority ratings to each CDO and to the ex-officio members of the Committee. (The deadline for mailing: last Friday in January.)

4. Committee Review of the Shared Purchase Recommendation and Decision Making Process

Before the end of February, the CDO's will meet to review the shared purchase recommendations. The cumulative priority rating for each item will be utilized to determine the order of consideration. Each campus, however, may have the opportunity to ask the Committee to consider one or more of the items out of the normal priority sequence. The order of consideration will be in reverse order of the amount of money received by the campuses in the preceding fiscal year. All members of the committee are expected to participate in the discussions of the Committee. However, only the CDO for each campus may vote on a purchase recommendation. If the Committee chooses, funds may be reserved for a subsequent meeting of the Committee. The affirmative votes of any six campuses will be required to confirm a decision to purchase a shared purchase recommendation. To locate a regional item on a particular campus will require votes for that campus by a majority of the campuses in that region. When it is agreed that one copy will be sufficient statewide, votes for a particular campus by a majority of campuses will be needed.

5. Notification and Funding Procedures

Immediately following the meeting, the Chair will prepare in priority order a list of the items approved for acquisitions by the Committee. The list should include a list of alternative shared purchase acquisitions in the event that the acquisition of a particular title cannot be completed by a designated campus. The lists will be forwarded to the Assistant Vice President for Library Plans and Policies for his review and decision. Copies of the list will be sent to all members of the Committee and to each University Librarian. The funding recommended for each title will include an allowance for tax, postage and handling agreed upon by the Committee.

After the Assistant Vice President has reviewed the Committee's recommendations, he will inform the Committee Chair of his decision. The Chair and the Office of the Vice President will then take the steps noted below:

a. The Chair will notify the campuses of materials that they have been designated to acquire. The Assistant Vice President's Office will transfer funds from Systemwide Shared Purchase Funds to the designated campuses. Following notification, the campuses will be authorized to place purchase orders for the items they have been designated to acquire. Each campus receiving shared purchase funds will be responsible for maintaining the financial records for the funds which are allocated to it.

b. If the Assistant Vice President decides that a shared purchase item recommended for purchase by the Committee will not be acquired, the chair will recommend an alternate item (or items) to be substituted for the item deleted. The Assistant Vice President should inform the Chair of his reasons for rejecting a shared purchase recommendation.

c. The Chair will maintain a file of decisions reached by the Committee. The file will include information concerning recommendations which the Committee has agreed not to purchase as well as recommendations for which sufficient funds were not available to acquire the materials in

the current year. Items for which decisions to purchase are negative or deferred may be resubmitted for consideration by a campus (or campuses) at a later time.

6. Continuation Orders and Review of Continuing Orders for Cancellation

The Chair will prepare a list of prior shared commitments requiring continued support at the close of each fiscal year. Copies of the list will be sent to each member of the Committee. The CDO's of each campus receiving continuing commitments will be responsible for updating the cost estimates for the shared purchase material it receives on a continuing basis prior to the second Friday in October. CDO's who want the Committee to consider cancelling a continuing commitment must submit a written request for cancellation to the Chair prior to the second Friday in October. Requests for cancellation will normally be considered at a special Fall meeting of the Committee. Agreement of a majority of the Committee is required to cancel a continuing commitment. Unless renewal deadlines permit earlier cancellation, the cancellation of a continuous commitment will take effect at the beginning of the next fiscal year.

7. Rush Review Procedures

Rush review procedures for recommendations may be applied to material involving considerable saving for the University. Campuses submitting a recommendation requiring expeditious treatment should annotate the Consideration Form in the following manner: "Rush, immediate response required." On receipt of the form the Chair will poll each member of the Committee concerning his/her recommendation. If the decision to buy is affirmative, the Chair will inform the Assistant Vice President of Library Plans and Policies, who will inform the Chair of his approval or disapproval as quickly as possible. The Chair will relay the Assistant Vice President's decision to the CDO of the requesting campus as well as other members of the Committee as soon as it is received. Shared purchase action from this point on will adhere to standard Committee practice, e.g., designated campus places the order, receives funds, etc.

In extraordinary cases campuses may submit a shared purchase recommendation to the Committee Chair by telephone. The Chair will poll the Committee by telephone and inform the Assistant Vice President of an affirmative decision by the Committee. Committee action from this point on will depend on whether or not the Assistant Vice President confirms the Committee's recommendation. In either instance, however, the appropriate shared purchase forms must be completed and placed in the Committee's files.

UNIVERSITY OF CALIFORNIA
LIBRARY COUNCIL

COLLECTION DEVELOPMENT COMMITTEE

Priority Ratings Guide
For Shared Purchase Recommendations*

Priority 1: Assign to recommendations which are considered essential shared purchase acquisitions at either the Systemwide or Regional level.

Priority 2: Assign to recommendations which are considered important shared purchase acquisitions, but of lesser significance to the University's academic program than Priority 1 recommendations.

Priority 3: Assign to recommendations which are of sufficient value to the "Overall" University Program to be acquired as a shared acquisition if funds should permit.

Priority 4: (Do not purchase): Assign to recommendations which you believe should not be acquired with Shared Purchase Funds. Reasons for placing recommendations in this category would normally be (1) the material is already held by a number of UC campus libraries; (2) the material fails to meet the Committee's Shared Purchase criteria; and (3) any other reasons that may be appropriate.

Priority X: Assign to recommendations which would raise policy matters or other questions which a Committee member believes should be carefully reviewed by the full Committee. An numerical score must also be assigned to all titles assigned an X rating.

---

* Lowest ratings (scores) are awarded to titles having highest priority ratings, i.e., highest priority = 1, second priority = 2, etc. Titles given a dual rating, e.g., 2/X by a committee member will be assigned the numerical score assigned to the titles. Titles assigned one or more X's will be discussed by the Committee in order to resolve the policy question raised by members of the Committee. Policy questions involving high priority titles should be resolved by the Committee prior to the completion of its Shared Purchase recommendations for a given review period.

COLLECTION DEVELOPMENT COMMITTEE SHARED PURCHASE PROPOSAL

Recommending campus: _____ Date _____

Bibliographic description:

Bibliographic access:

PRICE

Justification for Purchase:

On site use only? _____ Held by Center for Research Libraries? _____

Suggested Location: Systemwide at _____
or Regional at _____ & _____

_____
Signature of CDO

Response from _____ PRIORITY RANKING _____
(campus)

Holdings:

Comments on acquisition by the system:

Comments on bibliographic access:

Suggested location and reasons: Systemwide at _____
or Regional at _____ & _____.

_____
Signature of CDO (responding campus)
9/83

Form B

SHARED PURCHASE SUMMARY FORM

Year_____

BIBLIOGRAPHIC DESCRIPTION:

PRICE:_____ DECISION:

PRESENT LOCATION:_____

Location(s) Recommended

☐ Do not purchase

	Statewide or Regional	Location(s)
☐ Purchase		

CAMPUS	HOLDINGS	RECOMMENDATION					
		Purchase	Statewide or Regional	Location	Pref. Access only OK	Priority	Comments (attach if necessary)
B							
D							
I							
LA							
R							
S							
SD							
SF							
SB							
SC							
TOTALS							

SAN DIEGO: THE UNIVERSITY LIBRARY
LA JOLLA, CALIFORNIA

April 10, 1984

To: Library Council Collection Development Committee

Subject: Plan for conducting the National Collections Inventory Project (NCIP) in the University of California Libraries.

SUMMARY

History: The Collection Development Committee and Library Council have accepted the NCIP Subcommittee's feasibility report recommending that the U.C. Libraries participate in NCIP. The Subcommittee has recently met to refine the project as proposed in the feasibility report. This document, a plan of action, is the product of that meeting. The plan draws heavily on ARL's NCIP Manual, currently being tested in the academic research libraries of Indiana, as well as on the experience of the Indiana libraries during their pilot project.

Summary of the Plan: The University of California Libraries intend to complete the ARL/RLG National Collections Inventory Project. This goal will be accomplished in at least two phases. During Phase I, June-December, 1984, the libraries which have not already participated in the RLG Conspectus (UCLA, UCSD, UCSB, UCI, UCSC, UCR, UCSF) will complete the conspectus for three selected subject areas. Systemwide coordination of the project will be under the general responsibility of the Collection Development Committee, acting for Library Council. The current NCIP Subcommittee will function as the NCIP Steering Committee. Each campus will have an NCIP Task Force chaired by the Chief Collection Development officer for that campus. Each Task Force will receive a written charge from the University Librarian, as well as other kinds of explicit support for the project. Orientation of faculty and library staff at participating libraries, and training of librarians who will participate in Phase I of NCIP, will be facilitated by George Soete, UCSD, and selected OMS Consultant-Interns. At the end of Phase I, the organization and procedures for carrying out NCIP will be reviewed and revised. Phase II will then represent the ongoing effort of the U.C. Libraries to complete NCIP. It is assumed that ongoing local campus responsibility for NCIP, including training of bibliographers, will rest with the Collection Development Officer for each campus.

A more detailed presentation of this plan follows.

IMPLEMENTING NCIP IN PHASES

NCIP represents a long-term commitment of time and energy on the part of the UC Libraries: we plan, therefore, to implement it in phases, with a scheduled review of the effectiveness of systemwide coordination, local organization, training, etc. Phase I is planned to take six months. During this phase, the Libraries will complete three subject areas of the conspectus, which will be chosen by the Collection Development Committee from among those subjects for which RLG has completed conspectuses.

ORGANIZATION OF PHASE I

NCIP is a truly cooperative effort of the UC libraries. It is suggested therefore that it be organized to meet two important objectives:

1. The project needs to be coordinated on a systemwide basis to assure that the benefits of cooperation are fully realized.

2. Local organization for NCIP needs to be reasonably consistent among the campuses, allowing for some flexibility in local operations.

The following organization is recommended:

1. The Collection Development Committee of Library Council will have general coordinative responsibility for the project. This responsibility will include reviewing conspectus reports from the campuses and reviewing Phase I of the project for effectiveness.

2. The NCIP Steering Committee, a subcommittee of the CDC, will be responsible for the day-to-day coordination of the project. It is recommended that the present NCIP Sub-Committee become the Steering Committee [Soete, Chair; Dowd; Ignon; Shreeves]. This group will, for example, provide first review of conspectus worksheets submitted by the campuses.

3. On each campus, the Chief Collection Development Officer--also, of course, a member of the Collection Development Committee--will be responsible for implementation of NCIP.

4. The CDO on each campus will chair an NCIP Task Force composed of those three or four persons with primary responsibility for completing the chosen conspectuses. This group will, for example, review the conspectus worksheets submitted by bibliographers. Thus, should Literature be chosen as a subject area, the person chiefly responsible for Literature selection in the library would be a member of the Task Force and would coordinate the activities of all selectors involved in the completion of the Literature worksheets.

5. Appropriate bibliographers will participate in the project by completing conspectus worksheets in their areas of selection responsibility.

6. University Librarians play a key role in the project. Each will draft a charge to the local NCIP Task Force, focussing on the benefits of participation to the Library, to systemwide cooperation, and to the national scholarly community. The University Librarians will be asked to provide other kinds of explicit support for the project as well.

After Phase I, the organization of the project will be reviewed and revisions suggested by the Collection Development Committee. One possibility is that continuing implementation of the project after Phase I does not have to be so highly organized. There will, of course, be the need to meet the broad objectives of systemwide coordination and reasonable campus-to-campus consistency in any revised organizational structure.

An organization chart is attached. [Attachment "A"]

SEQUENCE OF EVENTS: TIMETABLE

We propose to implement Phase I during the six months from June to December, 1984. Following are the major events with approximate timings:

1. Orientation and Training. Two days of orientation and training will be required on each of the seven campuses that are beginning NCIP. This training should take place during the first three weeks in June, 1984. Orientation and training activities are described below. Three weeks.

2. Once trained, each bibliographer who is responsible for completing conspectus worksheets will submit a brief written plan of action. This will present details of approach and methodology in completing the worksheets. Two weeks.

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3. The bibliographers will complete the worksheets. Four to six weeks. At this point, the Collection Development Committee will also begin the process of monitoring the effectiveness of Phase I.

4. The Task Force will review and merge the submitted worksheets. Two to four weeks.

5. Worksheet data will be sent to RLG, where it will be keyed into the RLIN database. The product of this effort will be a report of conspectus data for the seven NCIP libraries, plus Berkeley, Davis, and Stanford, whose data are already in the Conspectus Online. Three weeks.

6. These "proof" reports will be reviewed and corrected by the local Task Forces. Three weeks.

7. RLG will then key the corrections into the database. Two weeks.

8. The NCIP Steering Committee will review corrected proofs, monitoring them for perceived inconsistencies among collection levels, etc. Three weeks.

9. The Collection Development Committee will review the proofs, recommend adjustments. Changes are forwarded to RLG for keying in. One week.

10. The Collection Development Committee will draft a written report to Library Council evaluating the Phase I experience and recommending changes for the continuation of the project. Four weeks.

Estimated times include the time it will take to send materials from campus to campus, to RLG, as well as the time required to convene meetings. A timeline presentation of the above is attached. [Attachment "B"]

ORIENTATION AND TRAINING

Orientation and training for Phase I of UC-NCIP will be conducted in early June in the seven UC libraries which have not previously participated in the Conspectus Project. Following are highlights of the plan for orientation and training:

1. Two six-hour days will be required on each of the seven campuses beginning participation in NCIP.

2. The first day will consist of one or two orientation sessions for interested faculty and one for library staff who are not directly participating in the project, as well as a planning

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meeting for the local Task Force. All selectors who will actually be completing conspectus worksheets during Phase I will be trained on the second day.

3. The training of selectors will be largely experiential, focussing on specific assessment techniques and providing the opportunity to complete sample sections of the worksheets in order that specific problems and issues can be addressed during the final session of the day.

4. George Soete, who has been participating in the Indiana NCIP Pilot Project, will be responsible for these two-day orientation and training events. He will be assisted by [probably two] consultant-interns from the Office of Management Studies, ARL. It is important to distinguish this initial structured training, however, from the ongoing training function that will be the responsibility of the Collection Development Officer on each campus.

5. It is desirable that the orientation days be scheduled so that the University Librarian on each campus will be available to lend support to the project by introducing the orientation sessions.

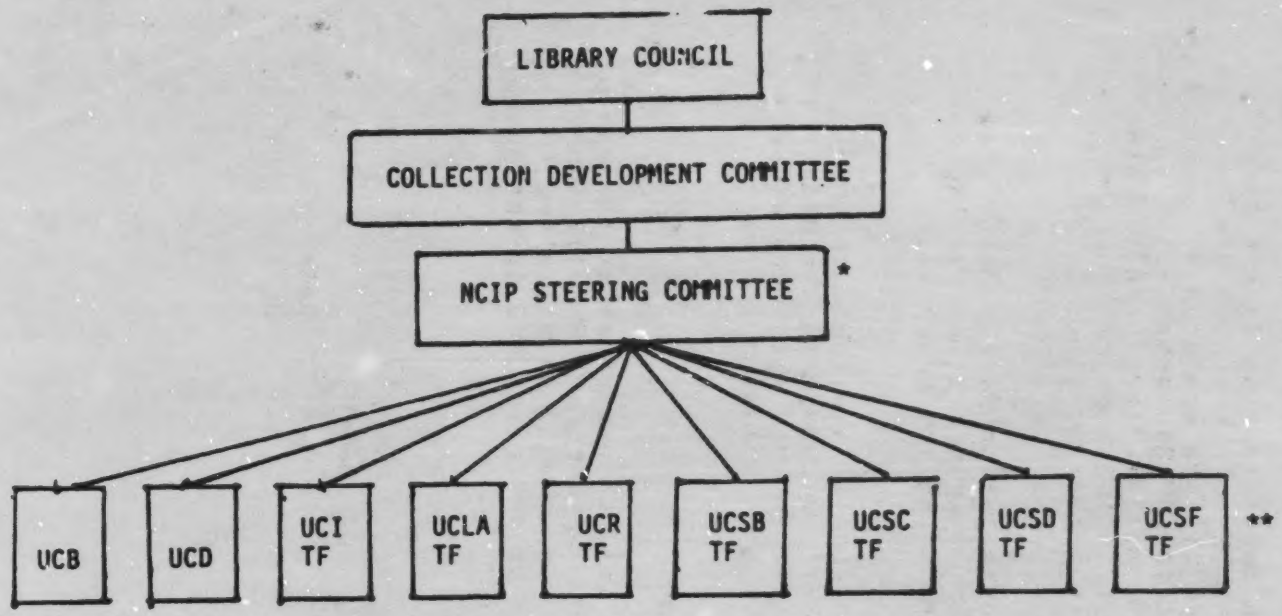
6. Further consultative assistance is available on those campuses which have already completed the conspectus to date. It is strongly suggested that support be provided for these experts to visit participating campuses to work with bibliographers.

EVALUATION

As outline above, the project will be evaluated at the end of Phase I by the Collection Development Committee, who will submit a written report to Library Council. Input will be solicited from all participating campuses, and the organization and operations of the project will be adjusted accordingly.

George J. Soete

GJS:sfg
collec.gjs



* NCIP Steering Committee: G. Soete, UCSD, Chair; Sheila Dowd, UCB; Olga Ignon, UCSB; Ed Shreeves, UCLA.

** Each Task Force will be chaired by the Chief Collection Development Officer for that campus.

GJS:meb
4/11/84

ATTACHMENT "A"

DATE COMPLETED	# OF WEEKS	CUM WEEKS ELAPSED	
6/1	----------		Phase I Begins
6/22	3	3	Orientation & training
7/6	2	5	Selectors complete written plans
8/17	4-6	11	Conspectus worksheets completed [review of Phase I effectiveness begins]
9/14	2-4	15	Task Forces review worksheets
10/5	3	18	Worksheet data keyed into RLIN
10/26	3	21	Review of "proof" reports by Task Forces
11/9	2	23	Revised data keyed into RLIN
11/30	3	26	NCIP Steering Committee reviews corrected proofs
12/7	1	27	Collection Development Committee reviews proofs, sends to RLIN for final keying
1/11/85	5	32	Collection Development Committee submits evaluation report to Library Council
1/20/85	---	---	Phase I ends: Phase II begins

GJS:meb
4/11/84

REPORT OF THE

TASK FORCE ON RESOURCE-SHARING ACTIVITIES

OCTOBER 1978

Submitted to the CAP Study Team
by:

Sheila Dowd
Anne Lipow
AnnMarie Mitchell (Chair)
Vickie Hanawalt (Editor)

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III. COLLECTING RESPONSIBILITY AGREEMENTS

A. Programs Which Extend Resources Available to UCB

The assumptions which preface this report, especially assumptions "A" and "C," stress the fact that the principal objective of resource-sharing programs is the enrichment of resources available to the Library's community, with a consequent improvement in the Library's ability to provide the information that community needs. As libraries recognize their interdependence in increasingly formal ways, they can arrive at agreements regarding areas of specialization, or can make ad hoc decisions on the acquisition of specific titles, thus avoiding unnecessary duplication and utilizing available funds to create broader and stronger total collections. To this end, UCB has joined in a variety of cooperative agreements on collecting responsibility, ranging from a broad survey of the strengths of two library collections to agreements between individual selectors about the purchase of specific titles.

1. The University of California Shared Acquisitions Program

a. Description

A percentage (currently two percent) of the total book budget for the nine campuses is reserved for joint purchase of research materials which need not be duplicated. Purchase decisions are made by a committee comprised of the heads of collection development on the nine campuses.

b. Evaluation

The program has achieved a limited success to date. Duplication of expensive materials among the campuses has undoubtedly been diminished; and available resources, especially of microform collections, have presumably been increased to a comparable extent. The practice of conferring about purchase of such materials has been established and formalized, promising increased benefits

in the future. Chief collection development officers are becoming more knowledgeable about the availability of special collections and unique research items throughout the University Libraries system. However, the potential benefits to users are not yet fully realized. The problem of informing library staffs and users of the availability of titles bought as shared acquisitions is unresolved. Guides and indexes annotated with the holding location are the most effective means the committee has found to alert users to the existence of statewide shared resources held on another campus. Improved bibliographic access is indispensable to full utilication of the materials. (See Recommendation 13). A nine-campus statement of collection development policy would also make the program more effective, by systematizing location decisions, and providing information to staff and users about the distribution of subject responsibilities throughout the UC libraries. (See Recommendation 5) Such a policy statement should also reduce the administrative costs of the program, currently high because of the time required for decision-making. It must be added, however, that the costs in staff time required to develop a nine-campus collection development policy statement will also be very high, and the goal difficult to achieve.

2. Stanford/UCB Cooperative Program

a. Description

As part of this program, efforts are underway to coordinate collection development policy statements. Each of the two libraries is currently preparing its own policy statement. Agreement has been reached on the language which will be used to express subject concepts (in the form of LC classification numbers) and on the levels of collecting. The two policy statements will be compared and revised in 1979.

b. Evaluation

By providing funding and impetus, this program is contributing greatly to the definition of UCB's own collection development policy. The proposed coordination of that policy with Stanford's holds great promise for the extension of resources

readily available to scholars of the two universities. Even before the formalized policy coordination is completed, selectors from the two campuses are becoming better acquainted; and much consultation is already taking place with regard to expensive or special materials. The very good transportation and delivery service between the two libraries is promoting acceptance of the concept of shared use of materials in a united academic community. This transportation represents one of the highest continuing costs of the program; but rapid access is vital to the success of cooperative collection activity. Problems for shared collection development are posed by the limitations of bibliographic access to the holdings of the partner library. To some degree, variations in the service policies and practices of the two libraries also raise problems for interdependence of the collections.

3. Graduate Theological Union (GTU) Common Library/UCB General Library Collection Development Policy Coordination

a. Description

Collection development librarians from UCB met with librarians of the GTU to discuss collecting policy in the field of religion. The basis for the discussions was GTU's detailed analysis, by LC class, of its collections and collecting policy. General agreement was reached regarding areas of emphasis for each institution; and selectors established systems for conferring about titles in questionable areas.

b. Evaluation

This dialogue has clarified understanding of policy and practice, and has created a high degree of mutual reliance in the collecting of religious materials. The existing collections complement each other, and are conveniently located for a common user community. An interest in religious studies is developing on the UCB campus; and the relatively recent creation of a major theological library nearby is a most fortunate circumstance for the Library, providing support for these studies in areas where there are intentional lacunae in UCB collections. The costs of cooperation with GTU are slight in proportion to the mutual benefits. Continuing efforts must be made to

define and coordinate the collections in religion at GTU, UCB, and the Canon Law Institute of the Law Library. (See Recommendation 2). To this end, further policy discussions are planned with the Director of the GTU Common Library when the UCB "Rushmore" policy statement draft is completed.

4. Special Collecting Agreements and Related Loan Agreements

a. Description

UCB branch and collection development librarians have gradually developed many agreements with their counterparts in other libraries regarding the acquisition of specific titles, publications of a particular agency, or materials in a discrete, definable subject area. Government documents librarians have been particularly active in designing effective agreements. The UCB Government Documents Department draws heavily on the collections of Davis, Stanford and the California State Library for publications which those institutions have agreed to collect. The UCB agriculture librarian works closely with librarians at Davis to develop research collections which are complementary, not competitive. Health sciences librarians throughout the western region coordinate collecting, especially with regard to serials. The Forestry and Forest Products Libraries participate in PACFORNET, a cooperative acquisition and cataloging program for the western region. Map librarians in the UC system have divided collecting responsibility for a number of geographic areas. The UCB art librarian has reached agreements with local museum libraries in respect to special materials or subject areas. Library selectors often confer with colleagues at other institutions before making decisions on expensive purchases.

b. Evaluation

These pragmatic arrangements between knowledgeable specialists are for the most part highly successful. They have permitted the UCB Library to make available to its patrons a wider range of publications than local funding would support. The arrangements are usually based on existing provisions for access, and thus represent an extension of available resources at little additional

cost. The agreements should, as far as possible, be recognized in the collecting policy of the Library. (See Recommendation 1). Further efforts to structure specific, clearly defined areas of interdependency should be encouraged. (See Recommendation 7). In particular, the collecting policies of UCB campus libraries outside the General Library system should be studied with this object in view.

5. Exchange agreements

a. Description

Exchange programs between scholarly institutions are among the oldest methods for inter-institutional cooperation in the development of collections. From its beginnings, the UCB Library has striven to develop and foster exchange relationships with other universities and learned societies, with a particular stress on the regular exchange of serial publications. In 1887 such exchanges were being conducted with nearly 100 foreign universities. Today, 91 years later, nearly 17,000 serial titles are being received in the Library from 4,393 exchange partners.

b. Evaluation

Kenneth Peterson, in his history of the UCB Library[1] comments with regard to the Library's nurturing of exchange relationships: "Its vigorous prosecution of this activity proved highly beneficial in developing a scholarly library collection." The Library's first goal in pursuing scholarly exchanges has been the steady enrichment of the UCB collections; and the esteem in which these collections are held in the American scholarly community, particularly as regards files of serial publications, must in considerable part be credited to the Library's exchange programs. It is necessary to add that these programs are not free; like most others, they encompass costs, both in staff and in materials. The book budget allocation for support of exchange and barter this year is $61,830. The materials acquired are for the most part of continuing scholarly worth, but of relatively low use. Therefore, the Library, in main-

[1] Peterson, Kenneth G. The University of California Library at Berkeley, 1900-1945. Berkeley, University of California Press, 1970.

taining exchanges, is making a commitment to the development of excellent scholarly resources in fields relevant to UCB scholarship, but not always directly in support of UCB teaching programs. It is important that an exchange program as strong as ours be evaluated also for its importance in contributing to UCB's role as a regional resource.

6. Library of Congress Cooperative Programs for Acquisitions and Cataloging

a. Description

In its National Program for Acquisitions and Cataloging (NPAC) and its PL-480 program, the Library of Congress has acted as an agent for American research libraries, enabling them to acquire publications in a regular and systematic way from areas where the book trade is weak. The NPAC program is less a sharing of materials than of expertise. It guarantees availability of important publications to the U.S. scholarly community, and creates widespread awareness of the location of such resources.

b. Evaluation

UCB collections, especially its South and Southeast Asian and its Middle Eastern collections, have been greatly strengthened by its long-term participation in NPAC and PL-480. The Library has generally been a selective participant, borrowing from comprehensive collections as needed with the aid of the program accession lists. There is some disagreement in the national library community regarding the cost justification of parts of the NPAC programs; but it seems safe to say that no library could achieve the same results independently at a lower cost.

B. Programs Through Which UCB Serves as a Regional Resource

Assumption "B" in the list prefacing this report acknowledges the Library's responsibilities to a clientele outside the UCB academic community. It stresses the need

to define and formalize those responsibilities, in order that the Library may focus its efforts and assess the costs of such services. The five programs or groups of programs listed under III.A. (Programs Which Extend Resources Available to UCB) also serve to extend UCB resources to the region and the nation.

1. The UC Shared Acquisitions Program materials purchased for UCB are, of course, regional resources.

2. The interdependence between UCB and Stanford in development of collections is expected to be of mutual benefit to two academic communities. At present UCB collections are being used by the Stanford community more heavily than are Stanford's by UCB.

3. The GTU agreements also minister to common needs, with GTU faculty and students making substantial use of UCB collections of historical works, sacred writings, and so forth.

4. Special collecting agreements tend to place responsibility for materials in one place, with benefits to other participants; but librarians evolving such agreements generally work out their own systems of "quid pro quo." UCB is, over all, a net lender.

5. As indicated earlier in this report, the collections which have been built through nearly a century of scholarly exchanges form a resource, not only for UCB scholarship, but also for the region and the nation. The publications acquired are essentially the low-use research materials which form an appropriate nucleus for resource-sharing programs. The Systemwide budget allocation formula penalizes libraries on the basis of "nonbudgeted volumes" received; so UCB is in effect taxed double for its support of an extensive exchange program. In view of the importance of these holdings not only to UCB scholars, but to the region, the Systemwide formula should be re-examined.

6. The publications assembled at UCB through NPAC, and through earlier national collecting programs such as PL-480 and the Farmington Plan, constitute a resource for the west and the nation.

In its interim report the CAP Study Team identified the Library's objectives for its collections as follows:

(1) To identify, acquire, organize and disseminate all forms of recorded information which are pertinent to existing research and instructional programs.

(2) After research and instructional needs are met, to collect and organize a broad range of materials, in order that the Library may be prepared to support new or changing programs as these emerge.

The collections, then, are not built with the objective of creating a regional resource per se, but of supporting the University's teaching and research programs. The breadth and quality of these programs has inspired and even impelled the creation, over many years, of a major research library distinguished especially for the broad and relatively even strength of its total collections. These collections, developed in response to academic program needs, have become the outstanding library resource of the western region. The costs to the Library of this regional role are discussed, with regard to staffing, delivery systems, and other charges, in other parts of this paper; but one cost which relates directly to the development of the collections must be addressed here. Richard M. Dougherty has stated the problem in an editorial in the Journal of Academic Librarianship, May 1978, p. 63:

> We as professionals have worked hard...to facilitate more and more resource sharing. But we haven't given sufficient attention to the long-term implications of opening up our collections. There is already evidence that the national interlibrary lending network is over-burdened. Many of the older, richer research collections are showing serious signs of deterioration from abuse and overuse. The Xerox machine has also contributed to the wear and tear on collections.

UCB must assess this cost of cooperation, as well as the more visible costs such as labor, transportation, or reproduction charges in evaluating its resource sharing efforts, and determining which programs are most beneficial. (See Recommendation 18).

C. Summary

UCB has made sound efforts to establish resource-sharing relationships with the strongest academic libraries in its region. Such agreements recognize the impossibility of any single institution's attempting a totally comprehensive collection. They aim to reduce unnecessary duplication, and to expand the range of resources available to UCB's clientele, and to all scholars of the region.

The hidden costs attached to cooperative collection development activities--the staff costs of planning and consulting and the materials costs of duplication and replacement resulting from high use of collections--must also be recognized. These costs must be assessed, along with the more visible costs of lending activities and transportation, in analysing the relative costs and benefits of programs.

Those programs which extend the resources available to the UCB community can generally be categorized as a division of responsibility among equals--that is, between two strong general collections or between one strong general collection and one distinguished special collection. Those programs through which UCB serves as a regional resource may also be a division of responsibility among equals; or they may place UCB at the top of a hierarchy of dependent institutions. Programs of mutual benefit, whether new or existing, should be examined to determine if the costs are justified by the long-term gains to both institutions. Programs through which UCB serves other libraries and clienteles without return benefits should be defined and formalized, and should be supported from supplementary funding sources.

COORDINATED COOPERATIVE COLLECTION DEVELOPMENT FOR ILLINOIS LIBRARIES

Volume I: A Description

by
Karen Krueger

Jim Edgar
Secretary of State
and State Librarian

Illinois State Library
Springfield, Illinois
June 1983

Funded by a Library Services and Construction Act Grant

Section 2: Part A

LEVELS OF ACTIVITY

Coordinated cooperative collection development, as described in this manual, is not imposed from the top down, but rather begins with local libraries of all types and progresses to the reference and resource libraries of the state. Its premise is that cooperative collection development must allow libraries to formulate local collection development policies which best serve their clienteles, and then to use these policies as the foundation for system CCCD plans and eventually for a state CCCD plan. Once libraries have made collection development decisions at the local level they will be better prepared to enter into agreements with other libraries and with the system. Using the approach in this manual, such agreements should enhance libraries' abilities to meet the needs of their primary clientele, not detract from them.

This approach to cooperative collection development is both hierarchical and lateral. Its four levels and component parts are as follows:

1. Local level
   Collection development plans for every ILLINET library which
   a. include client-centered assessments of their collections
   b. identify areas of special emphasis
   c. specify future acquisitions plans
2. System level
   Coordinated cooperative collection development plans for all 18 systems which
   a. identify high and low interlibrary loan performance areas based on the ability of participating library and system collections to fill requests
   b. specify strategies to be used for improving in those areas needing improvement
3. Intersystem level
   Cooperative collection development plans for libraries with similar interests regardless of system boundaries, such as libraries with special collections in a narrow field, which describe CCCD agreements between participating libraries
4. State-wide level
   A coordinated cooperative collection development plan for ILLINET which
   a. identifies high and low interlibrary loan performance areas in the Research and Reference Centers and Special Resource Centers
   b. identifies areas of high performance and low performance in the network as a whole based on the interlibrary loan fill rates within ILLINET
   c. identifies in-depth subject collections in the state
   d. specifies strategies to be used for improving low performance areas

ELEMENTS IN THIS PROCESS

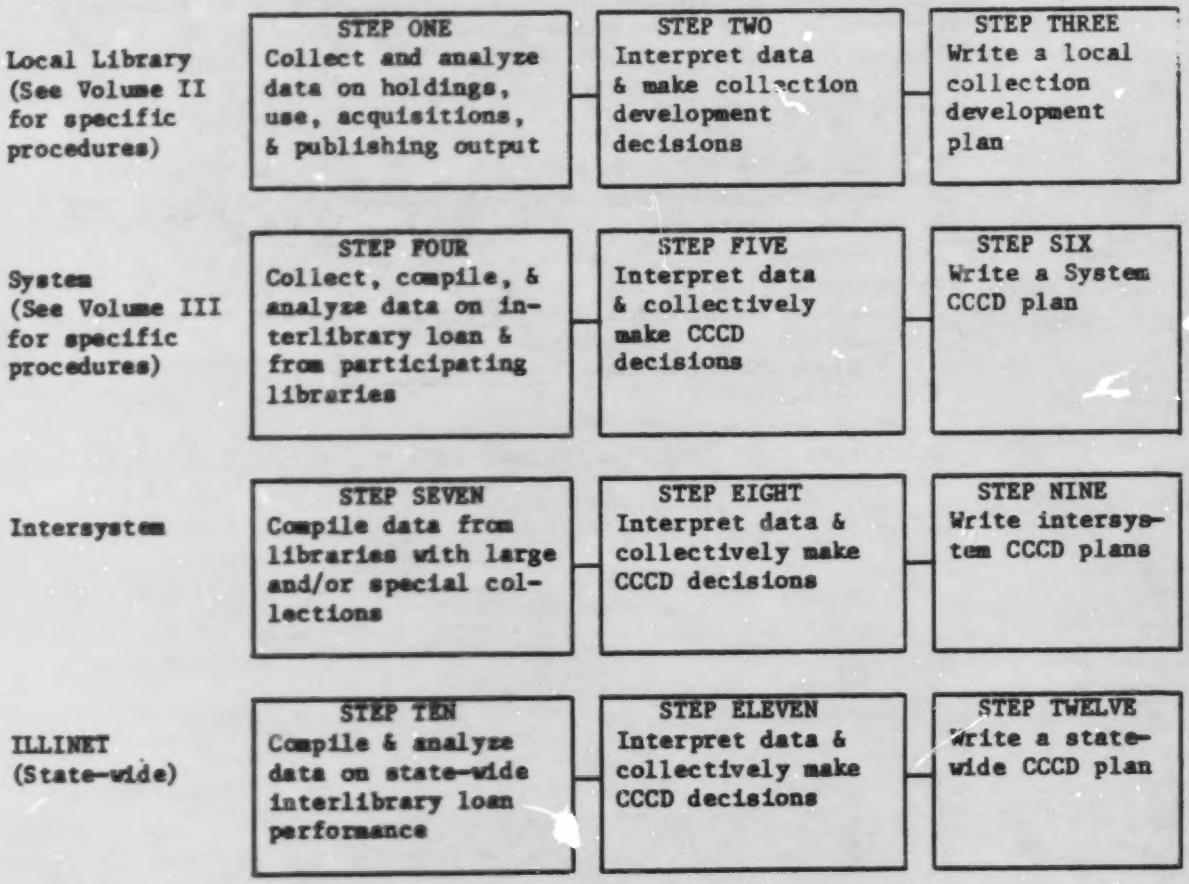
Although this process is based on local collection development policies which many libraries may already have, it is also based on detailed data about library collections, use, and acquisitions, which very few libraries have. To be useful these data must be comparable between libraries.

The elements of this CCCD approach are:

1. Data collection
   a. subject distribution, age, and availability of titles held
   b. subject distribution and age of items used (circulation and in-house use)
   c. subject distribution of acquisitions
   d. subject distribution of interlibrary loan and back-up reference requests and fill patterns
   e. subject distribution of publishing output
2. Data analysis
3. Interpretation of data
4. Collection development and cooperative collection development decisions
5. Written plans

The following diagram illustrates the elements in this CCCD process and the levels at which they occur in a 12 step process. The steps are described in greater detail in the part that follows.

Coordinated Cooperative Collection Development Process


Local Library (See Volume II for specific procedures)
STEP ONE
Collect and analyze data on holdings, use, acquisitions, & publishing output
STEP TWO
Interpret data & make collection development decisions
STEP THREE
Write a local collection development plan
System (See Volume III for specific procedures)
STEP FOUR
Collect, compile, & analyze data on interlibrary loan & from participating libraries
STEP FIVE
Interpret data & collectively make CCCD decisions
STEP SIX
Write a System CCCD plan
Intersystem
STEP SEVEN
Compile data from libraries with large and/or special collections
STEP EIGHT
Interpret data & collectively make CCCD decisions
STEP NINE
Write intersystem CCCD plans
ILLINET (State-wide)
STEP TEN
Compile & analyze data on state-wide interlibrary loan performance
STEP ELEVEN
Interpret data & collectively make CCCD decisions
STEP TWELVE
Write a state-wide CCCD plan

THE STEPS

The preceding has been an overall description of this CCCD process as it would work in ILLINET. A more detailed step-by-step description follows.

LOCAL LEVEL

Step 1. Collect and analyze data

There are five data collection processes involved at this step. These can be performed manually by clerical personnel or generated from a library's automated system or systems. The intent is to make the data collection as objective, comparable among libraries, and inexpensive as possible. These data are collected so that three levels of analysis can be done. The first level has the following twenty broad subject categories:

Agriculture
Arts
Biography
Economics & Business
Education
Engineering & Technology
Generalities
History & Travel (North America)
History & Travel (non-North America)
Home Economics
Language & Literature (English)
Linguistics, Language, & Literature (non-English)
Medicine
Music
Philosophy & Religion
Politics & Government
Psychology
Recreation & Sports
Science
Sociology & Anthropology

These are broken down into 119 subjects for the second level analysis and 507 subjects for the third level analysis. Libraries which have specialized areas of their collection they wish to analyze in yet further detail can do so.

These data collection activities are:

A. Determining number of holdings, median age, and availability of titles in each subject area

Method: The shelflist is measured, a sample taken, and the subject, age, and availability of each item is recorded. Availability is determined by checking the shelves.

Example of resulting data: Library A finds that 2.9% of its non-fiction monographs are in medicine (or approximately 3,436 titles). The median age of holdings in medicine is 1966-70 and there is a 69% availability.

B. Determining subject distribution and age of items circulated and used in-house

Method: A sample of circulation and in-house use is taken several times during the year by recording the classification number and copyright date of the items used.

> Note: Because of daily fluctuations in assignments and curriculum needs in school and academic libraries, sampling is usually not appropriate. These types of libraries have to keep statistics for the entire year, or be able to generate them from an automated system.

Some libraries may choose not to collect data on in-house use if they feel subject distribution of materials which circulate closely matches subject distribution of materials used in-house.

Example of resulting data: Library A finds that 7.8% of circulation and in-house use is in medicine and the median age of items that are used is 1977.

C. Determining subject distribution of previous year's acquisitions

Method: A sample is taken from the previous year's acquisitions records and the subject recorded.

Example of resulting data: Library A finds that 3.7% of the previous year's acquisitions were in the field of medicine.

D. Determining subject distribution of previous year's interlibrary loan and back-up reference activity

Method: A sample is taken from the previous year's requests and the subject recorded.

Example of resulting data: Library A finds out that 6.9% of their interlibrary loan requests are in medicine.

E. Determining subject distribution of publishing output

Method: This information is published yearly in the Bowker Annual and in Publisher's Weekly. A 20 year summary is provided in this manual and needs only be updated as is appropriate.

Example of resulting data: Library A finds out that during the previous year the percent of U.S. title output in medicine was 5.3%.

The data on holdings, circulation, and acquisitions may be available to some libraries through one or more of their automated systems. Since capabilities and programming vary so much from system to system, users of DataPhase, CLSI, LCS, OCLC, etc., will have to discover for themselves what their system(s) will provide and what will have to be collected manually. Computer analysis of the gathered data should be available through each system using software programs developed specifically for this manual.

Step 2. Interpret data and make collection development decisions

Although the data collection is designed to be done by clerical personnel, when the data are gathered and displayed, professional judgment is required for their interpretation and for decisions on appropriate actions. Mathematical tables should not preempt good judgment. After the first look at these data in the 20 broad subjects, some areas will immediately stand out as warranting further attention.

In the subject of medicine library A has found out the following:

Percent of holdings	Median age of holdings	Availability of holdings	Percent of use	Median age of items used	Percent of acquisitions	Percent of ILL	Percent of US title output
2.9%	1966-70	69%	7.8%	1977	3.7%	6.9%	5.7%

From these data they tentatively conclude that users are particularly interested in new, up-to-date materials, that the current collection is too small for the use it is getting, that the collection may need to be weeded, and that acquisitions are not keeping up with demand or with the publishing output. Medicine is a broad area, however, and in order to make local collection development decisions Library A needs to analyze the data in more detail. The data that are needed for this second level analysis can be compiled from the data that have already been collected.

This results in the following:

	Holdings	Use	Acquisitions
Medicine as a profession	10%	5%	8%
Human anatomy & physiology	8%	9%	10%
Personal health & hygiene	24%	28%	25%
Public health	5%	1%	4%
Pharmacology & therapeutics	7%	4%	8%
Diseases, pathology	33%	40%	30%
Other medical specialties	13%	13%	14%

From this information the library staff tentatively conclude that the following actions are warranted:

1. Increase acquisitions in personal health and diseases and pathology
2. Maintain current acquisition level in human anatomy and other medical specialties
3. Decrease acquisitions in medicine as a profession, public health, and pharmacology and therapeutics

The data that are gathered should be viewed as one element in this decision-making process. As was mentioned earlier, professional judgment is required to interpret the data and put them into the context of the library's goals and objectives. In Library A the tentative conclusions reached about medical materials must be viewed in light of the overall collection development philosophy of the library, the existence of neighboring collections, the availability of funds, etc.

Step 3. Develop a written (not necessarily elaborate) statement or policy describing the library's plans for collection development

At this step, a succinct and clearly stated policy is written. It will describe the library's priorities for the allocation of resources to meet the long- and short-range needs of its clientele.

In addition, a description of the collection and collection development plans will be submitted to the system. In this description the library will be asked to indicate

a. its actual holdings and previous year's acquisitions (by subjects in the first level analysis)
b. in which of the broad subjects it has a special interest and a willingness to participate in CCCD discussions
c. its actual holdings (by the second level subject breakdowns) in those broad subjects in which it has interest in CCCD
d. in which of the second level subjects it has a particular interest and/or plans to increase acquisitions

The above data will be used for planning CCCD activities at the system level. Libraries which analyze all or part of their collections at the third level analysis will be asked to indicate collection density and collecting intensity for each subject using the definitions in ALA's Guidelines for Collection Development. They will also be asked for data on holdings and acquisitions. This information will be used for planning CCCD activities at the intersystem and ILLINET levels.

SYSTEM LEVEL

Step 4. Collect and analyze data, compile data from participating libraries, and establish subject GROUPs

The subject distribution of the previous year's interlibrary loan and back-up reference activity needs to be determined.

> Method: This should be done for the system as a whole. A sample is taken from the previous year's requests including requests handled directly by participating libraries. The subject, date of titles requested, source of fills (within the system, elsewhere in ILLINET, and outside the state), and the number of non-fills are recorded.
>
> Example of resulting data: System A finds that 7.1% of the total interlibrary loan and back-up reference requests generated within the system are in medicine. Of those, 36% are filled within the system, 44% are filled elsewhere in ILLINET, 8% are filled outside ILLINET, and 12% are unfilled. The median age of titles requested in medicine is 1976-80.

In many systems it will be impossible for participating libraries to plan cooperative collection development activities in all 20 subjects during the first year (or even two) of the CCCD cycle. Therefore, prioritizing is done based on

a. the degree to which improvement is needed in interlibrary loan performance in each subject
b. the number of libraries within each subject which expressed interest in pursuing CCCD activities

Based on the prioritized results, subject GROUPs (Greater Resources of Use to Patrons) are formed which are responsible, on an on-going basis, for cooperative activities taking place in their assigned subject. Libraries involved in these GROUPs will be those which indicated an interest in CCCD as described in Step 3.

Initially, subject GROUPs will concentrate on improving interlibrary loan fill rates. Detailed information on interlibrary loan fill patterns, as well as number of holdings and acquisitions of the libraries in each GROUP, is compiled. In System A, for example, the Medical GROUP would be given the following interlibrary loan data:

Medicine is the third worst performance area in interlibrary loan 7.1% of all adult non-fiction requests in the system are in medicine			
	Percent of total requests in Medicine	Filled in System %	Unfilled %
Diseases	30.2	41.4	3.4
Personal health & hygiene	15.6	46.7	13.3
Pharmacology/therapeutics	14.6	42.9	14.3
Human anatomy & physiology	14.6	21.4	7.1
Other medical specialties	12.6	32.8	20.2
Medicine as a profession	8.3	36.0	8.7
Public health	4.1	31.3	19.8
	100.0	36.1 average	12.4 average
	Median age 1976-80	Median age 1976-80	Median age 1981

The Medical GROUP would also be provided data on each member's holdings and acquisitions. (Due to limited space, the following example includes only a few libraries and a few subjects.)

				Holdings in Specific Subjects (Titles)		
	Medical holdings (titles)	Median age of holdings	Medical acq. (The previous year) Titles	Diseases & Pathology	Personal Health & Hygiene	Human Anatomy & Physiology
Academic						
Library B	14,100	1966-70	820	4,230	1,410	2,820
Public						
Library H	1,600	1966-70	220	560	480	80
Library L	8,400	1966-70	600	1,680	2,520	840
School						
Library P	1,500	1971-75	160	300	600	75
Specia.						
Library V	7,300	1976-80	330	1,460	365	1,095
Library Z	2,600	1976-80	110	910	390	130

This information, along with publishing output data and forms the basis for cooperative collection development decision-making.

Step 5. Interpret data and make CCCD decisions

Interpreting data requires that previously held opinions be set aside and data viewed objectively. The Medical GROUP, in reviewing the preceding data on personal health & hygiene, might reach the following conclusions, among others.

Assessment of performance level

- Although personal health & hygiene has the highest filled-within-system rate, this rate should be better given the number of libraries with a special interest in this topic.
- The unfilled rate is much too high

Reasons for performance level

- Publishing in the field of medicine has skyrocketed. In the last ten years, U.S. title output in medicine has gone up 129% compared to a 25% increase in overall U.S. publishing.
- Books in this subject receive a lot of promotion in the media and are in heavy demand locally. Therefore, they are difficult to get through interlibrary loan. The high median age of unfilled requests (1981) bears this out.

In discussions within each subject GROUP, the variety of methods which could be used to improve the interlibrary loan fill rates are identified. An example of some of these options are:

- Cooperative weeding practices
  (central switching point for discards; last copy center for subjects with heavy demand)
- On-demand buying
  (libraries volunteering to look at the titles requested on interlibrary loan in a specific subject and to consider for purchase; system funds allocated for on-demand purchases)
- Avoiding unnecessary duplication
  (libraries agreeing to check holdings and order files of other designated libraries before ordering non-essential titles in a given subject; libraries agreeing to take responsibility for purchasing heavily in a certain area, by publisher, subject, type of material, etc.)
- Joint acquisitions
  (cooperative purchasing of expensive materials or materials that are used infrequently in any one library, but which collectively receive frequent use)

From the options identified, libraries select those which have the greatest potential for success, and negotiate each library's involvement and areas of responsibility. One arrangement the Medical GROUP might decide to try, is identifying specific topics in the area of personal health & hygiene which individual libraries would volunteer to emphasize in their collection, such as exercise, diet, and sex books. Another arrangement might be for certain libraries to agree to buy popular titles "on-demand" in response to specific interlibrary loan requests.

During the meetings of each GROUP, areas of mutual concern outside the realm of interlibrary loan can be addressed, such as transfer of materials from one library to another on a permanent or temporary basis. Additional meetings between libraries of similar size, with similar clientele, or within close geographic proximity to one another should be arranged if there is sufficient interest.

Step 6. Develop a written (not necessarily elaborate) system plan for CCCD

The written coordinated cooperative collection development plan for the system includes a summary of the agreements that were made by participating libraries, and a description of the method for

a. collecting data on a regular basis
b. evaluating progress toward meeting CCCD goals
c. monitoring changes in local library collection development policies which affect existing CCCD agreements

This plan is distributed to all participating libraries. In addition, a standard form used in ILLINET for CCCD is filled out and sent to the person designated to coordinate these activities at the state-wide level.

INTERSYSTEM LEVEL

Step 7. Compile data from libraries with large and/or special collections

Based on the information sent to systems by libraries which analyzed part or all of their collections in the third level analysis, a directory (preferably on-line) is compiled and made available state-wide. For each of the 508 subjects, the directory would include the following information from these libraries:

a. collection density
b. collecting intensity
c. number of titles owned
d. number of titles acquired during the previous year
e. degree of interest in CCCD discussions

Step 8. Interpret data and make cooperative collection development decisions

Based on the information in the above mentioned directory, logical groupings of libraries can be identified and formed. Depending on the number of libraries interested in each subject, these groupings may be based on type of library, geographic proximity, type of clientele served, etc.

Step 9. Write CCCD plans

A short description of the agreements reached needs to be put in written form, not only for the participating libraries but for the Illinois State Library to be used in planning for state-wide cooperative collection development activities.

STATE-WIDE LEVEL

Step 10. Compile and analyze data on state-wide interlibrary loan performance

At this level the interlibrary loan data received from the 18 library systems is compiled for the 507 subjects in the third level analysis. These data will include (for each subject):

a. the total number of requests received
b. the percentage filled within ILLINET
c. the percentage filled outside ILLINET
d. the percentage not filled
e. the median age of title requests

Step 11. Interpret data and make CCCD decisions

After reviewing the interlibrary loan performance data, a prioritized list of the subjects needing improvement will be developed. In light of the strength or weakness of state resources in those subjects and the degree of CCCD activities already underway in ILLINET libraries, the Illinois State Library, the R & R Centers, Special Resource Centers, and additional libraries or systems as appropriate will discuss and agree upon strategies for improving state-wide interlibrary loan performance.

Step 12. Write and distribute a coordinated cooperative collection development plan

Like the system CCCD plans, this will describe the agreements which were reached and the methods to be used for evaluating the success of the plan in meeting state-wide CCCD goals.

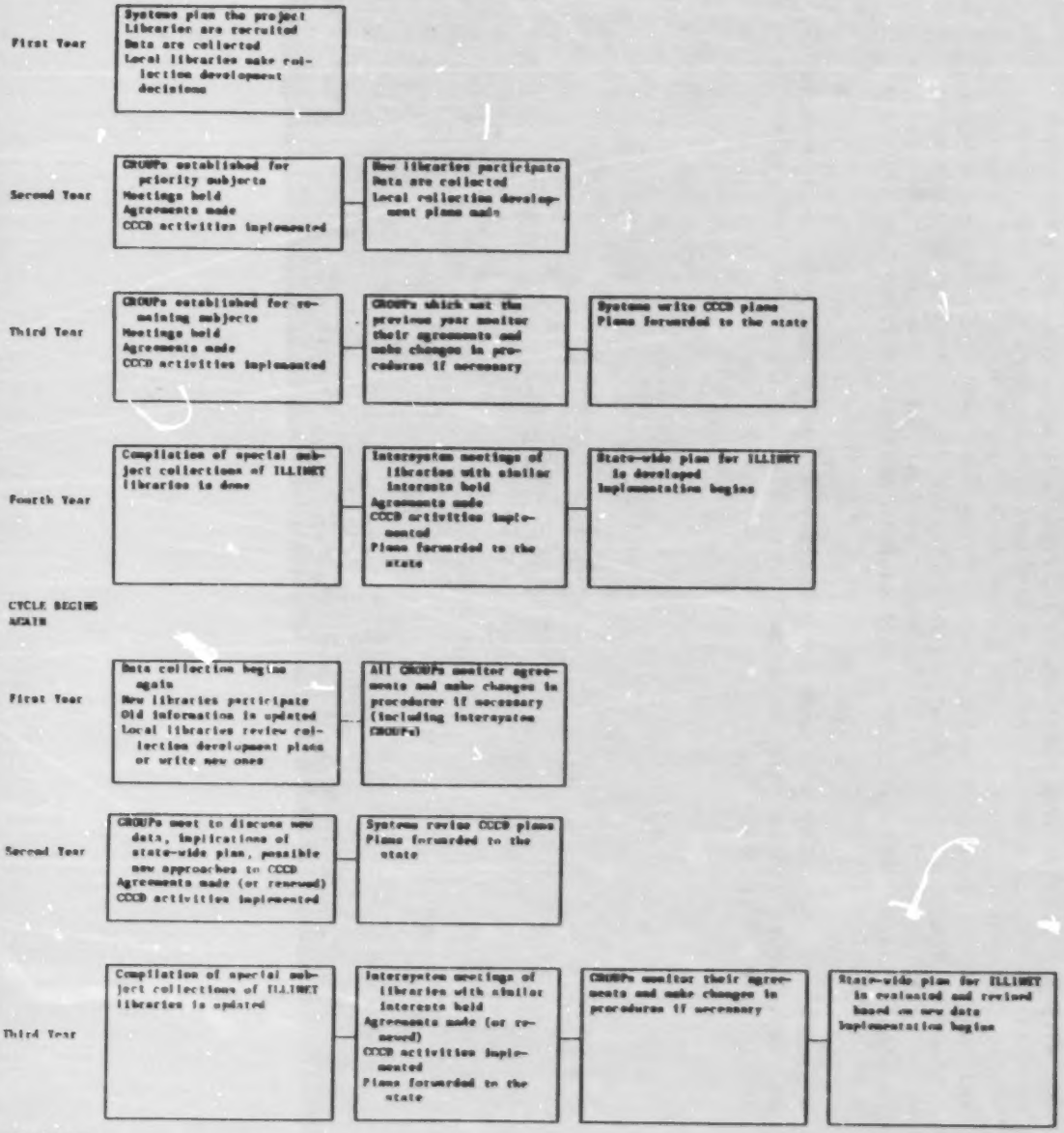
Section 2: Part D

THE COORDINATED COOPERATIVE COLLECTION DEVELOPMENT CYCLE

Cooperative collection development as described in this manual will work on a three year cycle. The first year, libraries and systems collect data. During the second and third years, subject GROUPs are established in each system, meet, and decide upon cooperative collection development activities. The fourth year, the cycle begins again and new data are collected. Libraries will probably become involved in this project on a gradual basis, therefore data collection may be taking place during both the first and second years. After that, however, it would be desirable to have data collection and analysis of local collections occur during the same year so that compilations of data and comparisons among libraries do not have to be done every year. (Libraries which collect in highly specialized areas and whose collections change emphasis rapidly, may want to analyze their collections more frequently.)

A diagram of the CCCD cycle appears as Figure 1. Note that when this process is first begun, it may take four years to complete. After that the cycle should take three years.

Figure 1: Diagram of CCCD Cycles
(The time allotted for these activities can be shortened or lengthened as needed)


First Year
Systems plan the project
Libraries are recruited
Data are collected
Local libraries make collection development decisions
Second Year
GROUPs established for priority subjects
Meetings held
Agreements made
CCCD activities implemented
New libraries participate
Data are collected
Local collection development plans made
Third Year
GROUPs established for remaining subjects
Meetings held
Agreements made
CCCD activities implemented
GROUPs which met the previous year monitor their agreements and make changes in procedures if necessary
Systems write CCCD plans
Plans forwarded to the state
Fourth Year
Compilation of special subject collections of ILLINET libraries is done
Intersystem meetings of libraries with similar interests held
Agreements made
CCCD activities implemented
Plans forwarded to the state
State-wide plan for ILLINET is developed
Implementation begins
CYCLE BEGINS AGAIN
First Year
Data collection begins again
New libraries participate
Old information is updated
Local libraries review collection development plans or write new ones
All GROUPs monitor agreements and make changes in procedures if necessary (including Intersystem GROUPs)
Second Year
GROUPs meet to discuss new data, implications of state-wide plan, possible new approaches to CCCD
Agreements made (or renewed)
CCCD activities implemented
Systems revise CCCD plans
Plans forwarded to the state
Third Year
Compilation of special subject collections of ILLINET libraries is updated
Intersystem meetings of libraries with similar interests held
Agreements made (or renewed)
CCCD activities implemented
Plans forwarded to the state
GROUPs monitor their agreements and make changes in procedures if necessary
State-wide plan for ILLINET is evaluated and revised based on new data
Implementation begins
CYCLE BEGINS AGAIN

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Section 2: Part E

THE EXPECTED EFFORT REQUIRED BY LOCAL LIBRARIES AND SYSTEMS

This summary of what is involved in this CCCD approach would not be complete without some indication of the time it will take to collect and analyze data, to make decisions and write policies, to meet with other libraries and system staff, etc. At best, only a rough estimate can be given. The following is based on the limited experiences of the four test libraries involved in the original King Research Project.

With the use of computers to tabulate and analyze data and with data collection spread out over a 9 to 12 month period, the commitment in time for any one library is not large. Certainly it is minimal for libraries with automated systems which can provide the needed data. For local libraries, the bulk of time will be taken up with data collection. The data that are collected, however, are unlike many statistics libraries are required to keep which never seem to get used. If a library spends 30-70 hours on data collection, that time is spent in ways that are directly beneficial to that library's operation. Improved collection management, which means improved service to patrons, will be the result at the local level. Even if the library's ultimate participation in cooperative collection development is minimal, the investment in time for local data collection is a good one. A chart showing the estimated commitment in time for libraries and systems using the CCCD process appears as Figure 2.

Figure 2: Estimate of Time Required for this Cooperative Collection Development Process
ONCE EVERY THREE YEARS

	Local Libraries	Systems
Step 1 - Collect & Analyse Data		
A. Manual Data Collection		
1. To collect holdings, age, and availability data	For libraries with the following size collections of adult non-fiction under 10,000 vols. - 18 hrs. 10,000-50,000 vols. - 22 hrs. 50,001-100,000 vols. - 25 hrs. 100,001-250,000 vols. - 30 hrs. over 250,000 vols. - 34 hrs.	If systems have collections, the time would be the same as for local libraries. However, availability would probably not be checked and this would decrease the time by about one-fourth
2. To collect circulation and in-house use data Time required for collecting data on circulation cannot be estimated because the procedures are incorporated in regular circulation routines. Staff in test libraries found these procedures easy to do and not disruptive. The estimates that are given here are for measuring in-house use.	For libraries with the following estimated amount of yearly non-fiction circulation and in-house use under 20,000 - 12-53 hrs. (44-200 days of sampling) 20,001-75,000 - 10-36 hrs. (12-43 days of sampling) 75,001-250,000 - 8-22 hrs. (5-11 days of sampling) over 250,000 - 6-12 hrs. (2-4 days of sampling)	None
3. To collect acquisitions data This will vary greatly depending on availability of classification numbers on order cards. If they are not available these estimates are much too low.	For libraries with the following amount of adult non-fiction titles acquired during the previous year under 1,000 - 1-3 hrs. 1,000-2,500 - 3-7 hrs. 2,501-5,000 - 7-15 hrs. over 5,000 - 15-20 hrs.	If systems acquire materials, the time would be the same as for local libraries
4. To collect interlibrary loan data These estimates assume that classification numbers are on the majority of requests. At the system level, title and subject requests received at the system and handled directly by libraries are sampled. Local level collection of data is optional.	2-6 hrs. (optional)	70 hrs. for obtaining a sample of 2,500 from a total of 30,000 requests
5. To figure publishing output This need only be done once and the information distributed to participating libraries.	None	1 hr.
B. Computer Analysis Tabulation and analysis will probably be done through the system using the software package that will be developed for this manual. Inputting time is unknown.	Unknown	Unknown
Step 2 - Interpret Data & Make Collection Development Decisions	Absolute minimum of 2 half day meetings. Will increase as size of library staff and complexity of collection increases.	None
Step 3 - Write a Local Collection Development Plan	Writing a policy can take several hours or several days.	None
Step 4 - Collect, Compile, & Analyse Data at the System Level	None	30 hrs.
Step 5 - Interpret Data & Make Cooperative Collection Development Decisions	Individual libraries may expect to be involved in from 1-4 subject groups with 2 or 3 meetings for each. This would result in 2 to 12 half day meetings for each library.	System staff will be heavily involved in all the subject groups and their meetings. Assuming that 10 subjects are discussed the first year of this project, one or more system staff would be involved in a maximum of 30 meetings.
Step 6 - Write a System CCCD Plan	None	The written plan would take a day or more, depending on its complexity.
Steps 7 and 12 involve new state-wide activities and time required cannot be estimated at this time.		

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BENEFITS OF THIS APPROACH TO COOPERATIVE COLLECTION DEVELOPMENT

Participation in the CCCD program outlined in this manual is based on a close scrutiny of local collection development practices and a subsequent analysis of whether those practices best meet user needs and fulfill the mission the library has established for itself. The benefits to this close scrutiny are:

- increasing staff knowledge about their library's collection and eventually about other libraries' collections
- improving communication between selectors and other library staff
- allowing "selectors to work with greater consistency toward defined goals."[9]
- providing invaluable information for the budget allocation process

There are other benefits in addition to those just mentioned. They are:

- increasing the library's ability to provide on-site access to materials most in demand
- using available space for materials at the local level as effectively as possible
- making the best use of every materials budget dollar
- indicating to governing authorities the library's desire to make the best use of the money that is available regardless of funding situations
- filling more interlibrary loan and back-up reference requests and doing so within the time frame of the user's need

Although this approach to cooperative collection development is more complicated than those described in Section 1, it has the most potential for success in terms of providing materials people want since it is client-centered. Other advantages are:

- it involves every library no matter how small the collection or acquisitions budget
- it relies heavily on data, not subjective, non-replicable assessments of collections
- the data that are collected locally are useful even if a library does not participate in cooperative collection development activities
- it can work without monetary subsidies or incentive grants

Cooperative Acquisitions Guidelines
Developed by
Indiana University
and
The University of Michigan
for
Slavic and East European Materials
October 1984
(Revised 12/84)

Both Indiana University and the University of Michigan are recipients of a Mellon Foundation grant, part of which will be used to strengthen library resources. The Directors of the Libraries and the Directors of the Russian and East European centers at each university agree that the libraries at both institutions shall coordinate their collection development policies so that research needs on each campus will be met while extensive duplication of more specialized areas will be avoided.

With this in mind, the Slavic bibliographers at both libraries have compared levels of the existing collection strength and policies of current collecting intensity on a country or area basis, primarily in the vernacular languages thereof, and have proposed agreements as noted in the accompanying document.

Current collecting intensity indicators are those developed by the RLG libraries and are explained in a separate section.

The institution taking primary responsibility for a certain country or area will collect within the context of the collecting intensity indicator and will not be responsible for an exhaustive, comprehensive acquisition of materials from that country or area. Funds for both materials and processing personnel are limited, and acquisition of materials must take into account both limitations.

The agreement covers most material selected in normal collection development activities. Exceptions may at times be made when material of a nature assigned to one library is urgently needed for use by the other library.

Both institutions restrict their collections to the broad range of the humanities and social sciences and maintain very limited collections in the pure sciences from these countries. In this context it should be understood that a designation of "2" for a geographical area is an overview rating for "area studies" and may consist of a "3" for linguistic coverage of the vernacular languages and a "1" for geography of that area. This will depend on the needs of the university, but the general and overall coverage will be maintained at the designated level.

SOVIET UNION	Current Collecting Intensity Indicator Indiana	Michigan
RUSSIAN REPUBLIC		
Both Indiana and Michigan need a research collection, thus both will continue to collect at present levels, with attention to specific areas limited to the following:	4	4
Indiana will collect material in the fields of higher education (level 3), music (4), physical education and sports (2) African Studies (3), Michigan will collect material on Far Eastern and Near Eastern studies		2 (retrospective)
UKRAINE		
Indiana will maintain its existing collection of older material and collect some restrospective material (generally material published prior to 1980).	3/4	3/4 (current)
Michigan will collect current Ukrainian imprints, including Ukrainian emigre publications of the major publishers (such as Smoloskyp, Suchasnist')	2	
BALTIC STATES		
Estonia		
Indiana will continue its collection serving its Ural-Altaic studies program.	3/4	1
Latvia		
Michigan will expand its coverage of current Latvian material.	2	2/3
Lithuania		
Indiana will collect current material	1	3
Michigan will give attention to retrospective material.	3	1 (current)

Revised 12/84

Central Asia (including Mongolia)		
Indiana will continue to expand collecting to approach a research level; emphasis will be on material in the vernaculars.	4	1
Michigan will limit its collecting to selected material in the Russian language.		
Caucasus		
Indiana will concentrate on Georgia for material in Georgian, in Russian, and in other languages.	2 (Georgia)	3 (Armenia)
Michigan will collect material on Armenia in Armenian, in Russian, and in other languages.	3	2
Each library may collect material on either country to fill special research needs on its campus.		
Bulgaria		
Indiana and Michigan will continue strong collections in selected social sciences and literatures, reflecting research interests on each campus.	3	2
Yugoslavia		
Serbia and Croatia		
Both Indiana and Michigan have research interests on their campuses which require an extensive collection for this area, and both will continue to collect at present levels.	4	4
Macedonia		
Michigan will collect current material.	1	3
Slovenia		
Indiana will collect current material.	3	1
Albania		
Both Indiana and Michigan will continue acquisitions at a minimal level, depending on the availability of publications.	1	1

Hungary		
Indiana will collect current material aiming towards an area studies research collecton. Michigan will collect only works in economics, history, and philology at a basic information level.	4	2
Poland		
Both Indiana and Michigan will continue strong collections, with Indiana giving attention to Solidarnosc materials, and a comprehensive collection of Kultura (Paris) publications; Michigan will give attention to Polish emigre publications.	3/4	3
Czechoslovakia		
Indiana will maintain its established collections at a research level; Michigan will continue a smaller collection.	4	2/3
Romania		
Because of limited Romanian programs, and the difficulty of controlling Romanian exchanges, both institutions will maintain basic information level collections.	2	2
Modern Greece		
Indiana will collect selective current publication aiming at an instructional level.	2/3	1
Turkey		
Michigan collects at a research level in Turkish local history and at an instructional level in other subjects.	2/4	3/4
Indiana is expanding its collection for folklore (4), pre-20th century history (4), and literature (2). Michigan will stress 20th century history and literature.		

1. Interlibrary Loan Agreements

To enhance the quality of this cooperative program the Inter Library Loan Services of the two universities have come to several agreements. For books in the Slavic field, they will give the following services.

1) Both institutions will lend serials if they are more than two years old.

2) Both institutions will lend microforms.

3) Michigan will give Indiana RLG rush status.

4) Indiana will give Michigan a "24 hour time turn-over service".

5) Michigan will waver the $10.00 user fee now charged to Indiana.

2. RLG Collection Level Codes

- LEVEL 0; OUT OF SCOPE: The library does not collect in this area.

- LEVEL 1; MINIMAL LEVEL: A subject area in which few selections are made beyond very basic works.

- LEVEL 2; BASIC INFORMATION LEVEL: A collection of up-to-date general materials that serves to introduce and define a subject and to indicate the varieties of information available elsewhere. It may include dictionaries, encyclopedias, selected editions of important works, historical surveys, bibliographies, handbooks, a few major periodicals. A basic information collection is not sufficiently intensive to a support any advanced courses or independent study in the subject area involved.

- LEVEL 3; INSTRUCTIONAL SUPPORT LEVEL: A collection that is adequate to support undergraduate and MOST graduate instruction, or sustained independent study; that is, adequate to maintain knowledge of a subject required for limited or generalized purposes, of less than research intensity. It includes a wide range of basic monographs, complete collections of the works of more important writers, selections from the works of secondary writers, a selection of representative journals, and the reference tools and fundamental bibliographical apparatus pertaining to the subject.

- LEVEL 4; RESEARCH LEVEL: A collection that includes the major published source materials required for dissertations and independent research including materials containing research reporting, new findings, scientific experimental results, and other information useful to researchers. It is intended to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals and major indexing and abstracting services in the field. Older material is retained for historical research. Pertinent foreign language materials are included.

- LEVEL 5; COMPREHENSIVE LEVEL: A collection in which a library endeavors, so far as it is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. This level of collecting intensity is one that maintains a "special collection"; the aim, if not the achievement, is exhaustiveness. Older material is retained for historical research.

ENDORSEMENTS

The undersigned hereby acknowledge and endorse the COOPERATIVE ACQUISITIONS GUIDELINES... to implement a program of resource sharing and cooperative acquisitions of Slavic language materials.

For Indiana University:

Elaine Sloan
Dean of University Libraries

Date

Robert Campbell, Director
Russian and East European Institute

Date

For the University of Michigan:

Richard H. Dougherty
Director of Libraries

Date

William G. Rosenberg, Director
Center for Russian and East European Studies

Date

Resource Guide

Long Island

Library Resources Council

1981

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NUC Symbol	Institution
GenInst	General Instrument Corp
NAlbH	Human Resources Center
NBelS	Suffolk Coop Lib Sys
NBetG	Grumman Aerospace Corp
NCe	Middle Country P L
NCshB	Cold Spring Harbor Lab
NEah	East Hampton Free Lib
NEi	East Islip P L
NEm	East Meadow P L
NEmNHI	Nassau Co Mus Ref Lib
NEr	East Rockaway P L
NFarF	Fairchild Republic Corp
NFarUA	SUNY ATC at Farmingdale
NFree	Freeport Memorial Lib
NGcA	Adelphi University
NGcCC	Nassau Community Coll
NGcG	George Mercer
NGcN	Nassau Acad of Medicine
NGl	Harborfields P L
NGlc	Glen Cove P L
NGlH	Hazeltine Corp
NGoH	Hillside Div, L I J
NGrn	Great Neck Lib
NGrpAG	Plum Island Lab
NGvP	C.W. Post Center
NHapSA	Suffolk Acad of Med
NHem	Hempstead P L
NHemH	Hofstra University
NHew	Hewlett-Woodmere P L
NHick	Hicksville P L
NHolb	Sachem P L
NHss	So Huntington P L
NHu	Huntington P L
NHuI	Immac Conception Sem
NKipM	US Merchant Marine Acad
NLev	Levittown P L
NLin	Lindenhurst Mem Lib
NLsH	PRC Harris, Inc.
NLsM	Med Society of N Y S

NUC Symbol	Institution
NLv	Locust Valley Lib
NManh	Manhasset P L
NMb	Mastic-Moriches-Shirley Comm Lib
NNbe	North Bellmore P L
NNhp	New Hyde Park P L
NNhpJ	L I Jewish, Hillside Med Center
NNm	North Merrick P L
NNopoVA	Veterans Adminis Hospital
NOaD	Dowling College
NOc	Oceanside Free Lib
NOwNI	N Y Institute of Technology
NOwU	SUNY at Old Westbury
NOy	Oyster Bay-E. Norwich P L
NPat	Patchogue-Medford Lib
NPatBH	Brookhaven Mem Hospital
NPl	Plainview-Old Bethpage P L
NPtw	Port Washington P L
NRockL	Lakeview P L
NRockM	Molloy College
NRoos	Roosevelt P L
NRvSL	Supreme Court Law Lib, 10th JD
NSay	Sayville Lib
NSbIA	Inst-Studies World Religions
NSbSU	SUNY at Stony Brook
NSbSU-H	SUNY Health Sciences Lib
NSea	Seaford P L
NSelC	Suffolk Comm Coll - Selden
NSelC-E	Suffolk Comm Coll - Eastern
NSelC-W	Suffolk Comm Coll - Western
NSm	Smithtown Lib
NSyoP	Harris Corp, PRD Electronics
NUpB	Brookhaven National Lab
NVs	Henry Waldinger Mem Lib
NWbC	Cardion Electronics
NWe	Westbury Mem Lib
NWeBE	BOCES - NERC
NWi	West Islip P L
NYCOM	N Y Coll - Osteopathic Medicine
USGS	U S Geological Survey

National Union Catalog

NUC symbols have been used to designate libraries except for a few institutions to which a symbol has not yet been assigned. The list opposite in NUC symbol order identifies each institution.

Beginning on page viii is a listing in alphabetical order by institution, including address, a phone number and the number from the Directory of Long Island Libraries/Media Centers, 1982. For many institutions this will provide additional names of staff and phone numbers.

RESOURCE GUIDE

A Composite Subject Profile of Long Island Libraries
Collected and Edited

by the

COMMITTEE ON RESOURCE SHARING
AND COORDINATED ACQUISITIONS

Long Island Library Resources Council
1981

RESOURCE SHARING AND COORDINATED ACQUISITIONS
COMMITTEE 1981

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Additional copies of this publication are available at $5.00.

INTRODUCTION

Purpose and Scope

The LILRC Resource Guide is a composite subject profile of collections of participating libraries which specifies the intensity or level of current or continuing collection strength. In some cases, it identifies the areas of strength in the library's retrospective collection if such areas represent former acquisitions patterns now discontinued but considered pertinent.

The Resource Guide is intended:

1. to provide assistance in the development of a regional collection development plan,
2. to encourage the development of coordinated acquisitions policies in LILRC libraries,
3. to identify subject fields which are in need of regional strengthening efforts,
4. to assist individual libraries to evaluate current subject strengths.

Method

The information for the Resource Guide, collected in the Spring 1981, was obtained by offering different methods of response to a questionnaire which was distributed to libraries selected from the LILRC membership listing. Libraries were asked to evaluate their collections on a self-study basis.

Definitions of levels of collection strength were adapted from the ALA Guidelines for the Formulation of Collection Development Policies.

The levels are as follows:

LEVEL C-2 - STUDY LEVEL (INITIAL)

A collection which is adequate to support undergraduate courses or limited independent study. It includes selections from currently published basic monographs supported by some retrospective monographs, a broad selection of works by the most important writers, a selection of the most significant works of secondary writers, a selection of the major review journals and the current editions of the most significant reference and bibliographic tools pertaining to the subject. Strong collections in the more popular subject areas such as "cookery" or "foreign languages" would be placed at this level.

LEVEL C-1 - STUDY LEVEL (ADVANCED)

A collection which is adequate to support the course work of an advanced undergraduate or master's degree program or comparable independent study. It includes a wide range of current and retrospective basic monographs, complete collections of important writers' works, selections of secondary writers' works, a representative selection of journals and the reference and bibliographic tools pertaining to the subject.

LEVEL B - RESEARCH LEVEL

A collection which includes the major published source materials required for doctoral and post-doctoral dissertations and comparable independent study. It includes materials containing research reporting, new findings, scientific experimental results, etc. It also includes all important reference works, a wide selection of specialized monographs, an extensive collection of journals and major indexing and abstracting services in that subject area.

LEVEL A - COMPREHENSIVE LEVEL

A collection which includes, as far as possible, all significant works (publications, manuscripts etc.) for the subject area. The aim of subjects collected at this level is to be exhaustive and usually encompasses what may be termed a "special collection."

Libraries are listed in alphabetical order according to collection level. Therefore, when consulting the Resource Guide, choose the collection which is most appropriate to the specific need, and avoid unnecessary use of B and A collections.

Subject headings -

1. Subject headings are derived from the Library of Congress Subject Headings (9th ed.) 1980.

2. Subject headings, excluding format of material, are alphabetically listed.

3. Direct subject headings as opposed to indirect or inverted subject headings are used. (e.g. "Applied mathematics" instead of "Mathematics, applied")

4. Broader subject headings and combined subject headings are used if specific headings were not reported.

5. Two-way referencing is used. Cross references are made to and from the broader subject headings and the specific headings as well as related headings. The Guide is self-indexing.

6. The most popular or common subject headings are used.

7. In most cases, the plural form of the subject heading is used (e.g., "Biological Sciences").

8. Scope notes are used to identify specializations, limitations and exclusions. Scope notes are indexed as "see" references.

9. Changes in information reported were made only after consultation with the reporting library.

10. Subject headings not represented in the Guide were not reported in the survey.

11. Current levels of collection strength are listed unless otherwise noted.

Future Revision

Since collection development policies change as information needs change, subject profiles in the Resource Guide will have to be updated. In order to reflect changes in acquisition patterns of participating libraries, updating will be accomplished in future editions by providing the libraries an opportunity for reporting and editing their subject profiles.

Listed here, in alphabetical order by institution, are the libraries included. In addition to name, address and phone number this list includes the National Union Catalog symbol used to designate libraries and the number from the Directory of Long Island Libraries/Media Centers, 1982. For many institutions this will provide additional names of staff and phone numbers.

Inside the covers is a list in NUC symbol order.

ADELPHI UNIVERSITY LIBRARY — NGcA 185
Garden City, NY 11530
Phone: 663-1032

BOCES-NERC — NWeBE 224
111 Cantiague Rock Road
Westbury, NY 11590
Phone: 931-8121

BROOKHAVEN MEMORIAL HOSPITAL — NPatBH 113
Medical Library
101 Hospital Road
Patchogue, NY 11772
Phone: 654-7774

BROOKHAVEN NATIONAL LABORATORY — NUpB 114
Research Library
Upton, NY 11973
Phone: 282-3489

CARDION ELECTRONICS - A Unit of General Signal Corp. — NWbC 116
Long Island Expressway
Woodbury, NY 11797
Phone: 921-7300

COLD SPRING HARBOR LABORATORY — NCshB 121
The Library
P.O. Box 100
Cold Spring Harbor, NY 11724
Phone: 367-8350

C.W. POST CENTER OF L.I.U. — NGvP 186
Greenvale, NY 11548
Phone: 299-2307

DOWLING COLLEGE LIBRARY — NOaD 188
Learning Resource Center
Idle Hour Boulevard
Oakdale, NY 11769
Phone: 589-6100, ext. 218

EAST HAMPTON FREE LIBRARY — NEah 024
159 Main Street
East Hampton, NY 11937
Phone: 324-0222

EAST ISLIP PUBLIC LIBRARY — NEi 025
381 East Main Street
East Islip, NY 11730
Phone: 581-9200

EAST MEADOW PUBLIC LIBRARY — NEm 026
Front St. & Newbridge Ave.
East Meadow, NY 11554
Phone: 794-2570

EAST ROCKAWAY PUBLIC LIBRARY — NEr 027
477 Atlantic Avenue
East Rockaway, NY 11518
Phone: 599-1664

FAIRCHILD REPUBLIC COMPANY — NFarF 128
Engineering Library
Farmingdale, NY 11735
Phone: 531-3497

FREEPORT MEMORIAL LIBRARY — NFree 035
West Merrick Road &
South Ocean Avenue
Freeport, NY 11520
Phone: 379-3274

GENERAL INSTRUMENT CORPORATION — GenInst 129a
Government Systems Division
600 West John Street
Hicksville, NY 11802
Phone: 733-3443

GEORGE MERCER, JR. — NGcG 190
SCHOOL OF THEOLOGY
65 Fourth Street
Garden City, NY 11530
Phone: 248-4800, ext. 73

GLEN COVE PUBLIC LIBRARY — NGlc 037
Glen Cove Avenue
Glen Cove, NY 11542
Phone: 676-2130

GREAT NECK LIBRARY — NGrn 038
Bayview Avenue
Great Neck, NY 11024
Phone: 466-8055

GRUMMAN AEROSPACE CORPORATION — NBetG 132
Technical Info. Center
L01-35
Bethpage, NY 11714
Phone: 575-3912

HARBORFIELDS PUBLIC LIBRARY — NGl 042
31 Broadway
Greenlawn, NY 11740
Phone: 757-4200

HARRIS CORPORATION — NSyoP 163
PRD Electronics Division
6801 Jericho Turnpike
Syosset, NY 11791
Phone: 364-0400, ext. 2677

HAZELTINE CORPORATION — NGlH 133
Pulaski Road
Greenlawn, NY 11740
Phone: 261-7000

HEMPSTEAD PUBLIC LIBRARY — NHem 043
115 Nichols Court
Hempstead, NY 11550
Phone: 481-6990

HENRY WALDINGER MEMORIAL LIB. — NVs 044
60 Verona Place
Valley Stream, NY 11580
Phone: 825-6422

HEWLETT-WOODMERE PUBLIC LIB. — NHew 045
1125 Broadway
Hewlett, NY 11557
Phone: 374-1967

HICKSVILLE PUBLIC LIBRARY — NHick 046
169 Jerusalem Avenue
Hicksville, NY 11801
Phone: 931-1417

HILLSIDE DIVISION MEDICAL LIB. — NGoH 144
LI Jewish-Hillside Med. Ctr.
75-59 263rd Street
Glen Oaks, NY 11004
Phone: 212-470-8406

HOFSTRA UNIVERSITY LIBRARY — NHemH 191
1000 Fulton Avenue
Hempstead, NY 11550
Phone: 560-3475

HUMAN RESOURCES CENTER — NAlbH 135
I.U. Willets Road
Albertson, NY 11507
Phone: 747-5400, ext. 1255

HUNTINGTON PUBLIC LIBRARY — NHu 048
338 Main Street
Huntington, NY 11743
Phone: 427-5165, ext. 31

IMMACULATE CONCEPTION SEMINARY LIBRARY — NHuI 198b
West Neck Road
Huntington, NY 11743
Phone: 423-0483

INSTITUTE FOR ADVANCED STUDIES OF WORLD RELIGIONS — NSbIA 136a
Melville Memorial Library
SUNY at Stony Brook
Stony Brook, NY 11794
Phone: 246-8365

LAKEVIEW PUBLIC LIBRARY — NRockL 054
1 Tanglewood Road
Rockville Centre, NY 11570
Phone: 536-3071

LEVITTOWN PUBLIC LIBRARY — NLev 055
One Bluegrass Lane
Levittown, NY 11756
Phone: 731-5728

LINDENHURST MEMORIAL LIBRARY — NLin 056
One Lee Avenue
Lindenhurst, NY 11757
Phone: 888-7575

LOCUST VALLEY LIBRARY — NLv 057
170 Buckram Road
Locust Valley, NY 11560
Phone: 671-1837

LONG ISLAND JEWISH-HILLSIDE MEDICAL CENTER
L.I. Jewish Division
New Hyde Park, NY 11042
Phone: 212-470-2673
NNhpJ 144

MANHASSET PUBLIC LIBRARY
30 Onderdonk Avenue
Manhasset, NY 11030
Phone: 627-2300
NManh 061

MASTICS-MORICHES-SHIRLEY COMMUNITY LIBRARY
William Floyd Parkway
Shirley, NY 11967
Phone: 399-1511
NMb 063

MEDICAL SOCIETY OF THE STATE OF NEW YORK
Albion O. Bernstein Library
420 Lakeville Road
Lake Success, NY 11042
Phone: 488-6100, ext. 288
NLsM 110a

MIDDLE COUNTRY PUBLIC LIBRARY
101 Eastwood Boulevard
Centereach, NY 11720
Phone: 585-9393
NCe 066

MOLLOY COLLEGE
James Edward Tobin Library
1000 Hempstead Avenue
Rockville Centre, NY 11570
Phone: 678-5000
NRockM 194

NASSAU ACADEMY OF MEDICINE
John N. Shell Library
1200 Stewart Avenue
Garden City, NY 11530
Phone: 832-2320, 2321
NGcN 151

NASSAU COMMUNITY COLLEGE
Library Department
Garden City, NY 11530
Phone: 222-7406
NGcCC 195

NASSAU COUNTY MUSEUM REFERENCE LIBRARY
Eisenhower Park
East Meadow, NY 11554
Phone: 542-4516
NEmNHI 155

NEW HYDE PARK PUBLIC LIBRARY
1420 Jericho Turnpike
New Hyde Park, NY 11040
Phone: 354-1413
NNhp 070

NEW YORK COLLEGE OF OSTEOPATHIC MEDICINE/NYIT
Box 170, Wheatley Road
Old Westbury, NY 11568
Phone: 686-7786
NYCOM 159a

NEW YORK INSTITUTE OF TECHNOLOGY LIBRARY
Wheatley Road
Old Westbury, NY 11568
Phone: 686-7754, 7755
NOwNI 196

NORTH BELLMORE PUBLIC LIBRARY
1151 Newbridge Road
North Bellmore, NY 11710
Phone: 785-6260
NNbe 072

NORTH MERRICK PUBLIC LIBRARY
1619 Meadowbrook Road
North Merrick, NY 11566
Phone: 378-7474
NNm 073

OCEANSIDE FREE LIBRARY
Davison Avenue
Oceanside, NY 11572
Phone: 766-2360
NOc 075

OYSTER BAY - EAST NORWICH PUBLIC LIBRARY
89 East Main Street
Oyster Bay, NY 11771
Phone: 922-1212
NOy 076

PATCHOGUE-MEDFORD LIBRARY
54 - 60 East Main Street
Patchogue, NY 11772
Phone: 654-4700
NPat 077

PLAINVIEW - OLD BETHPAGE PUBLIC LIBRARY
999 Old Country Road
Plainview, NY 11803
Phone: 938-0077
NPl 080

SUPREME COURT LAW LIBRARY — NRvSL
10th J.D., Room 210 — 178
Court House
Griffing Avenue
Riverhead, NY 11901
Phone: 548-3766, 3767

U.S. GEOLOGICAL SURVEY — USGS
Water Resources Division — 179a
5 Aerial Way
Syosset, NY 11791
Phone: 938-8830, ext. 60

U.S. MERCHANT MARINE ACADEMY — NKipM
The Schuyler Otis Bland — 207
Memorial Library
Kings Point, NY 11024
Phone: 482-8200, ext. 501

VETERANS ADMINISTRATION — NNopoVA
MEDICAL CENTER — 180
Middleville Road
Northport, NY 11768
Phone: 261-4400, ext. 2262

WEST ISLIP PUBLIC LIBRARY — NWI
Three Higbie Lane — 104
West Islip, NY 11795
Phone: 661-7080, 7082, 7083

WESTBURY MEMORIAL PUBLIC LIB. — NWe
454 Rockland Street — 105
Westbury, NY 11590
Phone: 333-0176

A SAMPLE PAGE

ABNORMAL AND PATHOLOGICAL PSYCHOLOGY
C-1 NHemH
See also PSYCHOLOGY

ACCOUNTING
C-2 NFarUA, NKipH, NOaD, NOwU
C-1 NGcA, NHemH, NOwNI
A NGvP (1976+)
See also BUSINESS

Activities Therapy
See RECREATIONAL ADMINISTRATION

ADVERTISING
C-2 NFarUA, NGvP, NSbSU
C-1 NGcA, NHemH, NOwNI
See also BUSINESS

Advertising Art
See COMMERCIAL ART

AERONAUTICAL ENGINEERING
C-2 NFarUA, NGlH, NKipH, NSbSU
C-1 NHemH, NOaD, NOwNI
B NBetG, NFarF, GenInst

AEROSPACE ENGINEERING
C-2 NFarUA, NGlH, NKipH
C-1 NHemH, NOwNI
B NBetG, NFarF, GenInst

AESTHETICS
C-2 NFarUA, NGcA, NGcG, NGvP, NHemH, NOaD, NOwNI
B NSbSU
See also PHILOSOPHY

AFRICA - AREA STUDIES
C-2 NEm, NFarUA, NGcA
C-1 NHemH, NOwU, NSbSU
See also HISTORY - ANCIENT TO A.D. 200 - NEAR EAST AND EGYPT; MIDDLE EAST AND NORTH AFRICA - AREA STUDIES; NORTH AFRICA - GOVERNMENT AND POLITICS; SUB-SAHARAN AFRICA - GOVERNMENT AND POLITICS

Africa - Art
See ART HISTORY - AFRICA

Africa - Literature
See ENGLISH LITERATURE IN AFRICA; FRENCH LITERATURE IN AFRICA

AFRO-AMERICAN STUDIES
C-2 NRockL
C-1 NRoos
See also MINORITIES IN THE UNITED STATES

AGRICULTURE
C-2 NFarUA

AGRICULTURE - ECONOMIC ASPECTS
C-2 NFarUA

Agronomy
See AGRICULTURE

AIR CONDITIONING
C-2 NFarUA

ALCOHOLISM
C-2 NSbSU-H
See also DRUG ABUSE

ALGEBRA
C-2 NFarUA, NGrpAg, NHemH, NKipH, NOaD, NOwNI, NOwU, NRockM, NSelC
C-1 NGlH, NGvP
B NGcA, NSbSU
See also MATHEMATICAL LOGIC; MATHEMATICS

ALLERGIES
C-2 NGcA, NGvP, NNopoVA, NYCOM
C-1 NGcN, NNhpJ, NPatBH
B NHapSA, NSbSU-H

American History
See HISTORY - MODERN - UNITED STATES

American Indians
See INDIANS OF NORTH AMERICA

American Literature
See ENGLISH LITERATURE IN CANADA; UNITED STATES - LITERATURE

ANALYTICAL CHEMISTRY
C-2 NGvP, NHemH, NKipH, NOaD, NOwNI, NOwU
C-1 NGcA, NGrpAg
B NUpB

ANALYTICAL MECHANICS
C-2 NFarF, NGcA, NGvP, NHemH, NOwNI
C-1 NKipH
B NSbSU
See also PHYSICS

ANATOMY (BIOLOGICAL)
C-2 NFarUA, NGcN, NGvP, NHemH, NOwNI, NOwU
C-1 NGcA, NNhpJ, NPatBH, NYCOM
B NHapSA, NSbSU-H

ANATOMY (MEDICAL)
C-2 NFarUA, NGcN, NGvP, NHemH, NNopoVA, NWeBE, NOwU
C-1 NNhpJ, NPatBH, NYCOM
B NHapSA, NSbSU-H
See also MEDICAL SCIENCES

Ancient History
See HISTORY - ANCIENT ...

ANESTHESIOLOGY
C-1 NSbSU-H
See also MEDICAL SCIENCES

Animal Science
See AGRICULTURE

Antarctic Regions
See POLAR REGIONS

ANTHROPOLOGICAL LINGUISTICS
C-2 NHemH
C-1 NSbSU

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MAPPING INFORMATION RESOURCES *in the* PACIFIC NORTHWEST

AN INVITATION TO PARTICIPATE

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LIBRARY and INFORMATION RESOURCES for the NORTHWEST

A Program of the Fred Meyer Charitable Trust

"...the Library of Congress and the New York Public Library are participating in programs of distributed collecting responsibilities, and many smaller libraries—public, special, and college—are beginning to use coordinated collection development...so that they can concentrate more of their shrinking resources on primary... needs."

Paul Mosher, Stanford University Libraries
Marcia Pankake, University of Minnesota Libraries

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PREFACE AND ACKNOWLEDGEMENTS

This invitation to participate in a regional resource assessment gives library administrators and other decision makers a plan for profiling or mapping information collections in Pacific Northwest libraries. It describes the financial commitment with which the Fred Meyer Charitable Trust will assist libraries as well as the costs and benefits to libraries.

The resource assessment methodology described in this report is being adopted by libraries across the nation. Yet the overall approach is a unique and pioneering effort adapted to the needs of Pacific Northwest libraries and their patrons. For the first time, academic, public, and special or technical libraries will have a standard set of techniques for assessing their collections at one or more levels of detail. As a result, library administrators will have another powerful tool for managing collection development and resource sharing programs. This tool will assist in coordinating collection plans among groups of institutions in the Pacific Northwest. It will assist library staff to locate appropriate subject collections in the region for patrons whose information needs exceed what is available locally.

The assessment approach and methodology described here were developed by a hard-working Resource Assessment Group.

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Seattle, Washington

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Lewiston, Idaho

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Evergreen State College Library
Olympia, Washington

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University of Oregon
Eugene, Oregon

Dennis Stephens
University of Alaska, Fairbanks
Fairbanks, Alaska

Ruth-Ellen Miller and Geri Schmidt were consultants to the task force. Kathleen Treb Pollock of the LIRN staff provided outstanding assistance in every phase of this work.

We look forward to working with many institutions in the Pacific Northwest to assist in designing new ways to provide access to information that promotes economic and educational development.

Douglas K. Ferguson
Director

January, 1985

LIBRARY AND INFORMATION RESOURCES FOR THE NORTHWEST
2125 Southwest Fourth Avenue, Suite 202 • Portland, Oregon 97201 • (503) 241-2242 • A Program of the Fred Meyer Charitable Trust

"If the unexamined life is not worth living, the unexamined collection is not worth developing."

Leza Madsen
Library Director, Matanuska Susitna Community College

Highlights

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What is LIRN? The Library and Information Resources for the Northwest (LIRN) Program exists to support strategies for improving access to information in the Pacific Northwest (Alaska, Idaho, Montana, Oregon, and Washington). Improved access to information is a major contributor to educational and economic development. LIRN will foster increased information access in two ways: first, with a standardized subject-by-subject *resource assessment* resulting in a widely available database of both collection patterns and acquisition commitment patterns, and secondly, with demonstration projects of innovative *information delivery*. Both activities support more effective access to information for everyone who uses libraries in the Pacific Northwest.

What is the Assessment Project?

The LIRN resource assessment effort consists of two distinct processes. One is a simplified one-page survey identifying specialized collections. The other is a standardized process tailored to Pacific Northwest libraries, their collections, and users. With this process, each library will build a profile of its information resources—subject-by-subject—indicating collection levels or strengths and acquisition plans. These profiles will be combined in a regional resources database that shows collection levels for a given subject at all participating libraries.

Why a Resource Assessment? A resource assessment will provide data for a computer-based "map" of resources in a single library, in clusters of libraries, as well as in all participating libraries. This map, in the form of a regional database, will provide:

- an additional tool for managing collections in individual libraries
- management information to assist with cooperative collection strategies and agreements
- an additional source which library staff can use to assist patrons in locating subject collections

What is Involved in the Assessment?

First, the library administrator or management team identifies one representative (two-three may be appropriate for large libraries) to attend a two-day training program. During the training program, the appropriate level of assessment detail will be discussed for each library. There are four progressively more detailed levels. At the most general level, there are ***20 DIVISIONS***. At the second level, the ***20 DIVISIONS*** of level one are subdivided into another ***200 SUBJECTS***. At the third level, the ***200 SUBJECTS*** are further divided into ***500 FIELDS***. And, at the most detailed level, the ***500 FIELDS*** are expanded to ***5,000 TOPICS***. Within a single library, some areas of collection may be assessed at the most general level, others at the most detailed, and others at appropriate levels in between.

What Financial Support is There?

Nearly all training and database expenses will be covered by LIRN, that is, training in 1985, assessment forms, coordination of follow-up, travel and expenses for one person from each participating institution to attend training, and the development and delivery of a regional database. The major costs to the participating libraries will be staff time—two days of training and 25–75 hours per ***DIVISION***, depending on the level of assessment detail chosen. The travel and expenses of second or third representatives in 1985 training sessions will be carried by the libraries unless prior arrangements are made with LIRN.

Who Can Participate? Any public, academic, or special library in the Pacific Northwest can participate. Participating libraries make these agreements:

- to commit staff time to a two-day training program in the standardized assessment process,
- to commit staff time to assess their own library collections
- to report their assessment data to a central regional database.

How to Participate? Any Pacific Northwest library can participate by sending in the participation form to the LIRN office. Trainings begin in April 1985 and repeat monthly thereafter. The sooner a library participation form is received by the LIRN office, the greater the chance for that library to be scheduled for an early training.

LIRN Resource Assessment Project
How It Came to Be

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The Information Explosion. The pattern of accelerating growth in the production of all forms of recorded knowledge continues in the 1980s. The increasing importance of this knowledge is demonstrated by a parallel growth in the number of consumers and those professionals whose task it is to make information accessible. Just as the complexity and importance of human knowledge has increased, so has its cost to the students, teachers, researchers, and citizens who are dependent upon it. More and more, community agencies, colleges, and corporations find themselves hard-pressed to fulfill their obligations to provide access to information in the face of reduced budget levels.

New means to organize, retrieve, and deliver information are being developed continuously, but they are not enough. New methods of strategic planning for management of information resources—ways that look beyond this year's budget and beyond individual institutional resources—are needed if we are to cope with the information requirements of the present and the future.

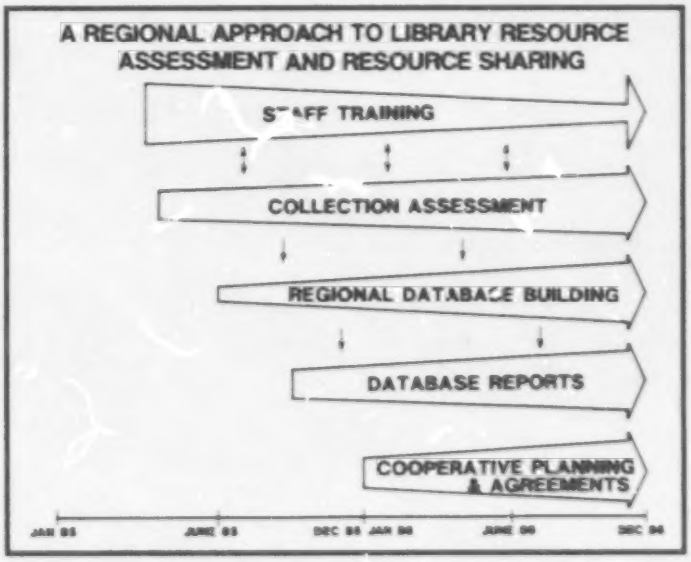
Pacific Northwest Issues. In the Pacific Northwest we have fewer (three) large central research collections and lower levels of per capita spending for public libraries than any set of states with similar geography and population. Geography, distances, and dispersed populations of the region pose major problems of access to information. Strong collections are widely spread throughout the region and, despite progress with computer-based catalog services, they are, by and large, invisible.

The LIRN Goal. Recognizing the special problems of the Pacific Northwest, a tradition of library resource sharing, and the opportunities that the new technologies offer, the Fred Meyer Charitable Trust has established the Library and Information Resources for the Northwest (LIRN) Program.

The LIRN goal is to assist in providing improved access to information in the Pacific Northwest, thereby enhancing educational and economic development. This is to be achieved by promoting the design of new ways of information acquisition, coordination, and delivery.

To fulfill this goal LIRN has defined five objectives:

- a survey which will result in a directory of specialized resources in the region
- a standard assessment process that identifies subject patterns for information resources in the region
- a regional database for analyzing and displaying or mapping subject patterns
- a regional framework for cooperative collection management and inter-institutional agreements
- the design of a regional approach to innovative, cost-effective information delivery



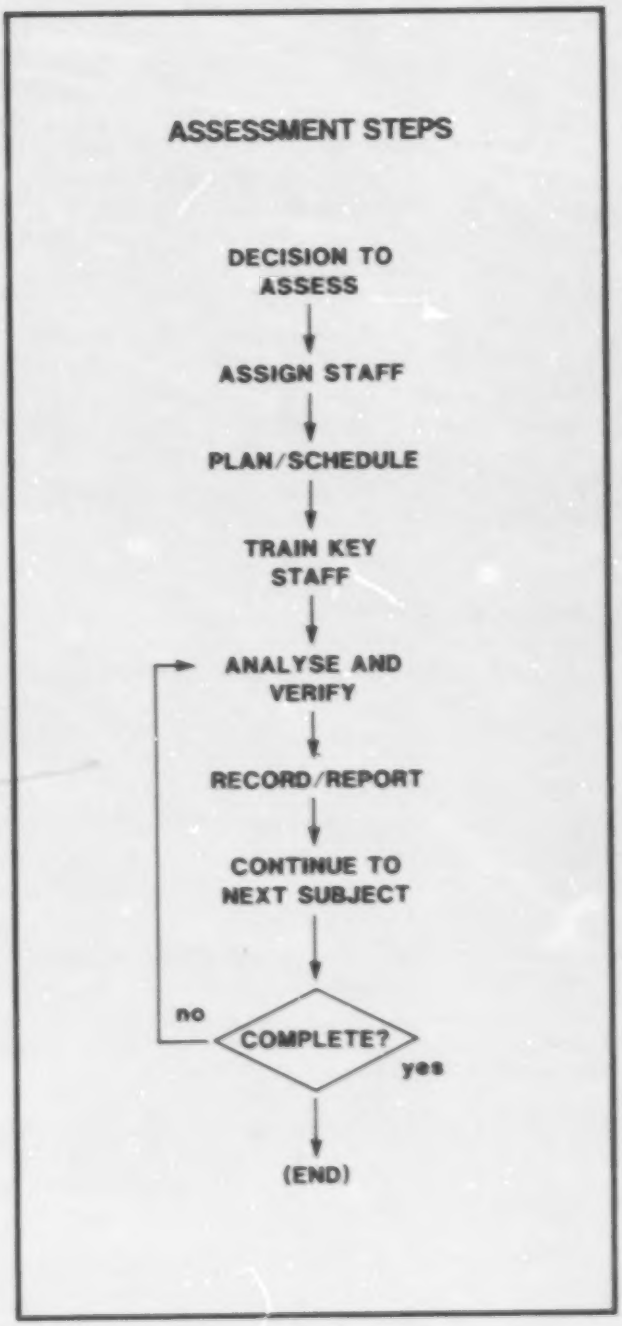
Assessment: An Overview. For each ***DIVISION, SUBJECT, FIELD*** or ***TOPIC*** chosen, library staff assign "collection level" and "acquisition commitment" indicators. The overall process includes these steps:

- reviewing this document
- deciding to participate in the assessment
- assigning the staff
- training the staff at LIRN-funded workshops
- assessing the library collection based on common guidelines
- recording the assessment results on standardized worksheets
- reporting those results on standardized worksheets

Assessment: Staffing. Staffing needs for the assessment vary according to the size of the collection and the level of detail at which the collection is to be assessed. While precise time data is not available, the experience of a number of libraries suggests that from 25 to 75 hours of staff time per ***DIVISION*** will be needed for those assessing larger collections at the most detailed level. Alaska's experience suggests that for smaller libraries assessing 20 ***DIVISIONS*** or even 200 ***SUBJECTS***, a few hours are sufficient for each ***DIVISION*** once a library representative – already familiar with the collection – is trained in the assessment process.

Assessment: Training. The LIRN Program will sponsor two-day training programs beginning in April and repeating monthly through December of 1985. At the workshops, participants will become familiar with a standard set of rating criteria and will be given worksheets, guidelines, and hands-on experience with collections of sizes and types similar to their own to practice the techniques. Following the workshops, local teams will be encouraged to work together on the assessment, supporting each other as they encounter unusual situations or difficult choices.

Assessment: Measurement and Analysis. The newly trained staff members in each library then apply a set of standardized qualitative and quantitative criteria to rate their own collection in each ***DIVISION*** the library has chosen to examine. Among the criteria to be used are counts of volumes, tapes, photographs, artifacts, etc., shelflist measurements, inclusion of basic works from standard bibliographies, copyright dates, chronological coverage, presence of primary and secondary works, and circulation records. These measures will provide a "map" of existing collection strengths by ***DIVISION***, ***SUBJECT***, ***FIELD***, or ***TOPIC***. The library may also determine the current acquisition commitment level for each area. This may or may not be the same level as the existing collection strength, depending on the library's current mission and needs.



The Survey of Specialized Collections.

A separate but related activity in the resource assessment process is to identify any special collections individual libraries may have. The LIRN Program will mail surveys to approximately 1000 libraries in the region in the spring of 1985. The survey will be one page, asking librarians to identify collections of books, tapes, films, photographs, or other materials they hold which may be distinctive, rare, or unusually important. For example, one library may have the personal papers of a federal cabinet member, while another might have a computerized file of economic data, and another a set of audio or video tape recordings.

The completed survey forms will be used for a directory of special collections in the region. This special collections directory will be sent to all libraries that respond to the survey and copies will be made available to others on request. It will be available in paper, microfiche, and diskette forms.

The library staff commitment for this survey is expected to be minimal with virtually no administrative time involved. The simplified survey can be completed without any special training.

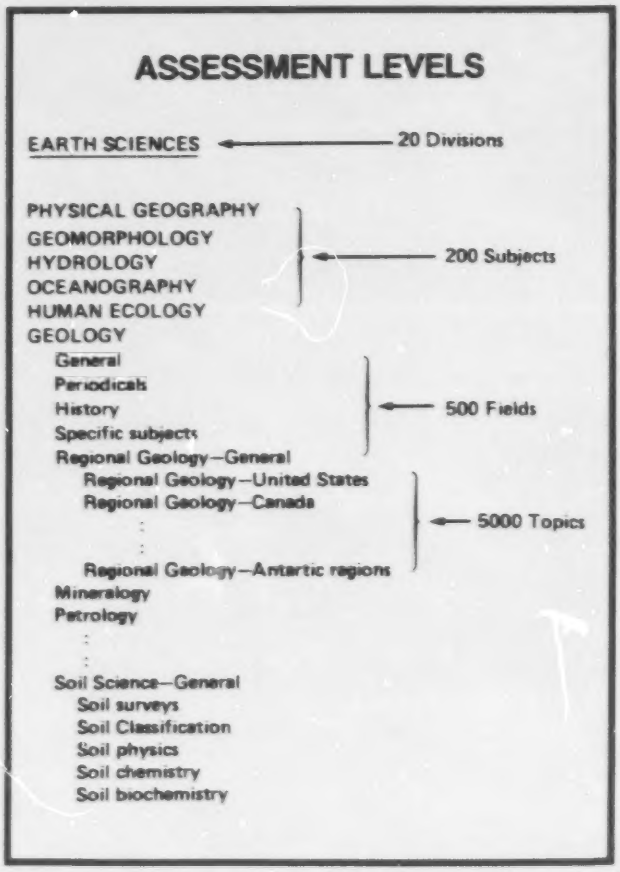
The Resource Assessment.

The resource assessment process identifies where specific types of information are located in the region. It includes information in all forms—print, audio, video, digital, etc.—as well as library information that is not cataloged and public information resources not in libraries. The process outlined here is totally new in its regional scope, but is based on the experience of the National Collections Inventory Project, the University of California collection analysis project, the State of Illinois inventory project, and the statewide assessment of collections underway in Alaska.

During the assessment, library staffs evaluate their collections according to standardized criteria, creating a clear picture of collection strengths in the region, subject-by-subject. Quantitative measures, such as, shelflist counts and qualitative measures, such as, professional judgment, are combined to produce present *collection level indicators*. Libraries also produce *acquisition commitment indicators* summarizing the intended collecting level. The indicators, in the form of numerical ratings, are reported in a regional database that displays collection levels at one or more libraries for a given ***DIVISION, SUBJECT, FIELD*** or ***TOPIC***.

Assessment: A Flexible Approach.

The LIRN program, with the advice of its Resource Assessment Group, has designed a flexible assessment approach to accommodate the wide range of libraries and information resources in the Pacific Northwest. Several levels of detail are possible and collections may be assessed at one or any combination of levels. Each level is an increasingly detailed breakdown of divisions based on the Library of Congress classifications (Dewey conversions available) of 20 major ***DIVISIONS***. For smaller, general collections the 20 ***DIVISION*** level may be most appropriate. For those libraries with larger collections, the approximately 200 ***SUBJECTS*** of the next level may be more useful. Collections with further depth may be best assessed using 500 ***FIELDS***. And libraries with a comprehensive or research orientation may need the full 5000 ***TOPICS***. In some cases a combination of these levels may be best—using the detailed ***TOPICS*** for one or two strong collection areas and the more general ***DIVISIONS*** or ***SUBJECTS*** for others.



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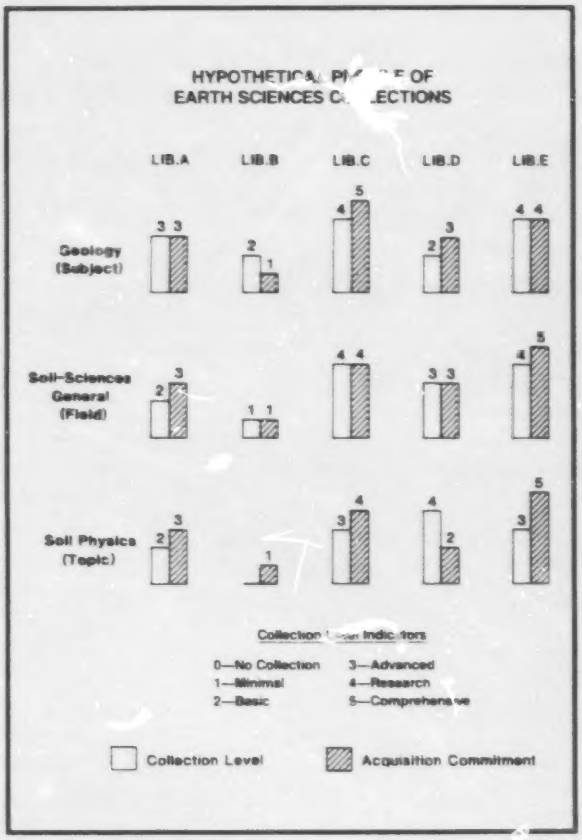
Assessment: Results. The results of these measurements and analyses will be recorded on standard worksheets. Typically the collection strength and acquisition commitment indicators are numeric summary scores ranging from zero to five (comprehensive level). Participating libraries will keep copies for their own use and send a set to the LIRN Program for inclusion in the Regional Informational Resources database. LIRN will edit the information on the worksheet and transfer it to the database.

Library staff will be able to request specific reports from the database, such as, a complete profile of a single collection, a profile of one or more subjects in a group of nearby libraries, or a profile of all collections in a given ***DIVISON***, ***SUBJECT***, ***FIELD***, or ***TOPIC***. LIRN will financially support the design, implementation, and operation of the database through mid-1986 and will assist libraries in determining the future status and location of the database.

"We're finding strengths and weaknesses we weren't aware of since we had not done this kind of review in the past."

Dennis Stephens
University of Alaska at Fairbanks



LIRN Glossary

Assessment: Refers to comprehensive resource assessment, subject-by-subject, of library collections in the Pacific Northwest.

Fred Meyer Charitable Trust: Refers to Trust created in 1982 by the will of Fred Meyer to foster economic development of the region with funds dedicated to the public interest.

Library and Information Resources for the Northwest (LIRN): Refers to the first program actually established and staffed by the Trust. Created to improve information access in the Pacific Northwest which will promote and enhance educational and economic development.

Survey: Refers to simple questionnaire on specialized collections. Begins in spring, 1985. Is distinct from assessment.

Training: Refers to the two-day training needed for library representative to learn standardized resource assessment process. Begins in April and runs monthly through 1985—completely subsidized by LIRN.

20 DIVISIONS: Refers to first and simplest level of resource assessment from which all other levels flow.

200 SUBJECTS: Refers to subjects within divisions. Is the second level of detail of resource assessment.

500 FIELDS: Refers to fields within subjects. Is the third level of detail of resource assessment.

5000 TOPICS: Refers to topics within fields. Is the fourth and most detailed area of resource assessment.

Costs

LIRN will carry these costs of the resource assessment in 1985:

- design, development, and distribution of the directory of specialized information
- development of a comprehensive training program
- design and development of training materials
- scheduling and logistics of all training workshops
- training specialists and resource people
- coordination and follow-up
- travel, meals, and lodging for one representative from each participating library to attend a two-day workshop
- design, development, and operation of the collections database

LIRN may cover travel, meals, and lodging for a second or third library representative to attend a workshop, depending upon circumstances.

In 1986 and beyond, LIRN will provide all materials and forms used in the training workshops, but the sponsorship, organization, scheduling, and training itself will be the responsibility of the libraries.

Libraries will carry these costs in 1985:

- nominal administrative staff time
- two days of library representative time for training
- some 25–75 hours of staff time per ***DIVISION*** depending on the level of detail
- nominal follow-up staff time for coordination and exchange of information on the work effort

When a library administrator sends more than one representative to be trained, travel, meals, and lodging for the second or third representative will be the responsibility of the home library unless prior arrangements are made with LIRN.

In 1986 and beyond, libraries continue to carry the 1985 costs. In addition, through local and regional coordination, libraries will sponsor and schedule workshops as needed using local library staff as trainers.

Benefits

Library staff will have:

- a clearer and more complete profile of subject-by-subject levels within their collections
- a basis for more selective development of subject collections
- an additional and more complete picture of resource patterns locally and in the region
- improved communication with other libraries engaged in the same assessment process
- enhanced professional skills in systematic collection development

Library administrators will have:

- an additional management tool to adapt their collections to changes in mission, programs, or user patterns
- an additional database for internal analysis for developing acquisition policies, plans, priorities, and strategies
- an additional tool to respond systematically to budget reductions or reallocations
- additional data for resource sharing and collection development arrangements with other libraries

The Pacific Northwest will have:

- patterns of information resources in the region comprehensively displayed
- subject collections identified nearer the point of inquiry reducing the burden on large, distant collections
- libraries able to coordinate their purchasing with other libraries when desired
- non-print resources in corporations, government agencies, and special collections more widely known

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Consortium of Universities of the Washington Metropolitan Area
1346 Connecticut Avenue, N.W., Suite 531
Washington, D.C. 20036

(202) 466-2628 Darrell Lemke, *Library Coordinator*

December 30, 1982

To: CAP Resource Sharing Study Group

From: Darrell Lemke

Subject: Summary of Consortium Programs for Collection Management and Resource Sharing

Collection Management

The first collection development project undertaken by the Library Council was in the late 1960s when the Winchell Guide and its supplements were cooperatively checked and important missing titles were acquired by member libraries. In 1969 the Consortium received a substantial Higher Education Act Title II-A Type C special purpose grant award which was expended on a cooperative basis.

At its October 1971 meeting the Consortium Administrative Committee approved a set of "Principles for the Allocation of Library Materials Among Consortium Libraries" which was developed by the Library Council. The November 1971 Consortium Newsletter stated that the principles were designed to:

> provide a framework for administration, faculty, and librarians to establish a program for limiting duplication of expensive, little-used research materials. The major provisions are the development of graduate level collections in relation to the curriculum, the limitation, where feasible, of special categories of materials (e.g., maps, documents) to one library, and the relocation of materials, with mutual consent, to the institution which will provide the most benefit for Consortium student and faculty needs.

Following the acceptance of the Principles, the Library Council drew up a "tentative and preliminary list of unique areas at advanced levels in letters and science and in several professional programs." The prefatory statement to the list--which appeared in the October 1972 Consortium Newsletter--stated that the initial intent of the Council was to "assign responsibility for the collection of little-used research materials to that institution which alone offers the highest degree awarded in the Consortium for a specified area of study." Eighteen programs in letters and science plus six professional degree programs were included in the list. Following

The American University
The Catholic University of America
Georgetown University
The George Washington University
Howard University
University of the District of Columbia
Gallaudet College
Mount Vernon College
Trinity College

adoption of the Principles, the libraries expended $208,000 in Special Purpose grant awards in conformity with the guidelines. The awards were received between 1971 and termination of the special purpose grants program in 1973. Although several of the libraries developed collections in accord with the Principles, no serious efforts were made to pool or expend additional funds on a cooperative basis prior to the preparation of an HEA Title II-C grant application in November 1982.

Limited attention has also been given to the principles relating to special categories and the relocation of materials. On behalf of the Consortium members, Georgetown serves as a selective U.S. government documents depository and George Washington maintains several depository map collections. After extended negotiations, the bulk of the Catholic University geology collection was transferred to George Washington University.

An Acquisitions Advisory Committee, consisting of department heads or their equivalents, was formed in 1971. Aside from its interest in library automation, evaluation of serial and monograph vendors and sharing of information on operational topics of mutual interest (e.g., approval plans, rush orders, gifts), the committee has devoted attention to several aspects of collection development:

1. In its first year the committee developed procedures for conducting inquiries on potential purchases with valuation of at least $500. The approach was, in general, dependent on the Consortium TWX system which was removed after the OCLC interlibrary loan subsystem became available. There is, at present, renewed interest in the exchange of information on the status of prospective purchases, particularly among the reference librarians.

2. [illegible]ly in conjunction with the 1979 ALA Midwinter meeting held in Washington, the committee interviewed a substantial number of serial and monograph vendors in an effort to obtain a favorable relationship for member libraries. Although some changes were made by the libraries following the interviews and subsequent evaluations the overall results were modest and no offers of significant advantage were made to the Consortium.

3. Members of the committee compiled and edited several useful publications including Major Titles/Sets in Microform (3rd ed. 1981; to be revised) and Blanket Orders/Approval Plans in Force (1979, revision being considered).

4. Substantial efforts were made in 1974 and occasionally thereafter to define levels of collection development as an essential first step in collaborative collection evaluation. During 1979, under the chairmanship of Fred Peterson, the committee addressed this topic with considerable energy. After review of available statements and presentation of member viewpoints the committee accepted the then recently issued ACRL statement on collection development levels.

Further committee efforts in these directions were curtailed, however, when the Library Council appointed a new Advisory Committee on Collection

Development which became effective on January 1, 1980. The new committee consisted of individuals involved in policy decision. Members of the committee were George Arnold, American; Bruce Miller, Catholic; Martha Bowman, George Washington; Joseph Jeffs, Georgetown (chair); Kenneth Wilson, Howard; and Katie Inmon, UDC.

After a review of collection development efforts and the Principles, the new committee devoted its initial meetings to an identification of new and modified degree programs at the member institutions and the support levels for thirty unique programs. It was then decided, with some expressed reservations, to issue a compilation of significant special collections. "Special collections" was broadly interpreted to include distinct collections which had been integrated with the main collection and collections of nonprint materials. Although several of the libraries submitted completed forms the project was never completed. Because of the imminence of the Glyn Evans'study and the difficulties thus far encountered, the committee was disbanded in the fall of 1980.

There are several additional projects which should be mentioned in this summary of generally unrelated attempts to coordinate collection development:

1. There have been at least two projects designed to eliminate duplicate subscriptions to little-used serial publications which can be obtained elsewhere in the Consortium.
2. Several printouts have been generated from the ULS 4th edition data base including one which lists all titles in alphabetic order within subgroupings based on frequency of holdings.
3. Two related workshops have been offered: F.W. Lancaster on collection measurement held on October 5, 1981 and Jutta Reed-Scott on collection policy statements held on April 2, 1982.
4. A combined HEA Title II-A Basic Grant application has been submitted for 1983-84. The grant award, made to the Consortium rather than the six university libraries, would provide limited funds for expenditure on a cooperative basis to be determined by the Library Council.
5. The members of the Reference Advisory Committee have decided to identify all major reference purchases since July 1982 to help them determine if mutual notification or other procedures should be developed.

Resource Sharing

The resource sharing programs are generally well defined and well established. The major elements of resource sharing among Consortium libraries are:

1. A direct-borrowing program available to all faculty and graduate students. The current volume of this program is 33,000 loans per year. There has been a gradual decline since the peak volume of more than 59,000 in 1975-76, attributable to new facilities and improved collections.

2. Shared use of the OCLC union catalog and interlibrary loan subsystem.

3. Mutual provision of free photocopy and some relaxation of the ALA code regarding types of material which are generally lent. Beginning January 5 a concerted effort will be made to establish interlibrary loan performance standards within the Consortium.

4. A daily delivery service will be in effect on February 1, 1983.

5. A number of bibliographic tools have been issued including the Union List of Serials (4th edition, November 1981), Guide to Library Audio-Visual Facilities (August 1981), Major titles/Sets in Microform (August 1981), Newspapers Currently Received (November 1981) and the directory, Guide to Library Resources (June 1982).

6. An interim report has been accepted from the Task Force on Bibliographic Access and the Serials Advisory Committee is examing options for the union list project.

7. The Library Council has agreed in principle to a consortium COM catalog to consist of records from the network OCLC-MARC tapes and compatible machine-readable records. A vendor RFP and grant applications are to be issued in the first quarter of 1983.

OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

NORTH AMERICAN COLLECTIONS INVENTORY PROJECT
A BRIEF DESCRIPTION

The Association of Research Libraries, working with the Research Libraries Group, Inc. began the North American Collections Inventory Project in July of 1983 as a cooperative effort intended eventually to involve research libraries throughout the United States and Canada. The project's long-term goal is to develop an on-line North American inventory of research collections which can assist scholars in locating materials needed to support their research. It is also hoped that the inventory will strengthen coordinated management of national research collections and help to determine shared responsibilities for maintaining these vital resources.

The development of a North American inventory of research collections is the cornerstone of a national cooperative effort, and through this overview of specific collection strengths, librarians and scholars will gain enormous benefits. The inventory will:

- help assure national coverage and the identification of lacunae;
- serve as the basis for distribution of responsibility for collecting, cataloging, and preserving materials, both nationally and regionally;
- serve as an interlibrary loan and public service referral tool, again both nationally and regionally;
- provide a consistent tool for the development of institutional collection policies;
- serve as a communication device for indicating changes in collection development policies, locally, regionally and nationally;
- provide the capability to link collection policy to processing and preservation priorities, within institutions as well as regionally or nationally;
- provide informaton for determination of national, regional, and local needs in relation to possible fund-raising activities; and
- stimulate changes in the way librarians and their clients think about cooperation.

Central to this effort is the expansion of the RLG Conspectus On-line into a North American data base of informaton about existing collection levels and current collection policies for all research libraries. This inventory of research libraries' collecting patterns is arranged by broad subject divisions within the framework of the Library of Congress classification and uses detailed subject descriptors. Libraries undertaking the assessments of their collections assign standard codes to characterize their collections and to indicate the language coverage. After bibliographers have completed the assessments, the results are reported on standard worksheets. The final step is the entering of each participating library's data into the Conspectus On-line. This data base currently contains partial descriptions of the collections of most RLG libraries, the Library of Congress and other ARL libraries and is available through the Research Libraries Information Network.

The Project, which is being managed by ARL's Office of Management Studies, has three phases. The first, which was funded by the Council on Library Resources, Inc., ran from July 1, 1983 - December 31, 1983, and included the development of a detailed manual which includes technical instructions for bibliographers, as well as an approach to organizing and implementing the inventory project in individual libraries. Training resources and methodologies for library staff were also developed during this phase as was a clearinghouse for standardized verification studies. Finally, during this initial phase, ARL nd RLG developed guidelines, procedures, and a pricing structure for adding data to the Conspectus data base.

The second phase of the project ran through calendar year 1984 and was funded by the Lilly Endowment. This phase included tests and further development of the materials designed during Phase I to the point where they can be applied in libraries throughout North America. Pilot test libraries are those at the University of Notre Dame, Indiana University and Purdue University. These diverse ARL libraries provided an opportunity to not only test the manual and training resources, but also to test approaches to statewide coordinated collection development. Bibliographers in the test libraries completed collection assessments for selected divisions of the Conspectus, compared results among the libraries, and developed procedures for cooperative decision-making. This phase also included the development of a methodology for identifying specialized collections in other libraries in Indiana and including those collections in the inventory.

The third phase, beginning in January 1985, will consist of implementing NCIP throughout North America. Planning procedures, manuals, training, and supporting documentation will be made available to the library community by the Office of Management Studies, which will also provide, through its consultant program, skilled librarians to assist research libraries in undertaking the assessments of their collections.

The implementation of the North American Collections Inventory Project can have great significance for scholars and research libraries. It will make possible on-line access to information about existing collection strengths and current collecting intensities in research libraries, thus laying the foundation for effective planning and action in coordinated collection development and resource sharing.

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BRIEF INSTRUCTIONS FOR COMPLETING CONSPECTUS WORKSHEETS FOR THE NORTH AMERICAN INVENTORY OF RESEARCH COLLECTIONS

The purpose of these brief instructions is to serve as a ready reference tool. Detailed information concerning the conspectus methodology and procedures is found in the Manual for the North American Collections Inventory Project.

I. Introduction

The North American Collections Inventory Project (NCIP) provides a systematic approach for building an online inventory of collection strengths of the major research libraries of North America. Its basic structure is the Conspectus developed by Research Libraries Group, Inc.

The Conspectus is arranged by subject within the framework of the Library of Congress classification. It consists of subjects broken down fairly specifically and represented by both LC class numbers and subject descriptors drawn from LC and other sources. These subjects are grouped in broad subject divisions, such as economics, psychology, or technology. Libraries undertaking the assessment of their collections use standard codes to describe the relative strength of their existing collections for the specific subject breakdowns as well as the level at which they are currently acquiring material for these same subjects. In addition, language codes indicate language coverage and free-text notes highlight special strengths.

Participation in NCIP requires that bibliographers and selectors establish collection levels for both existing collection strength (ECS) and for current collecting intensity (CCI). Existing collection strength refers to the strength of the collection already acquired and available; the focus is on retrospective holdings and the breadth and depth of the collection. Current collecting intensity refers to the level of effort (funding, exchange programs, serial subscriptions, etc.) that is presently being expended to build the collection; the focus is on the library's current efforts to develop the collection.

II. Completing the Worksheets

The assessments of each library's collections are reported on specially prepared worksheets. Completing the worksheets requires a number of interrelated tasks: review of existing documentation; survey and assessment of the collection; establishment of collection intensity and language codes; final preparation of library-wide conspectuses; and entering of results into the Conspectus On-line. An example of a completed worksheet is included in Appendix A. Generally, the process of completing the worksheets for a conspectus division includes five distinct phases.

1. Preparation

A bibliographer beginning the collection assessment should first become familiar with available documentation relating to each subject division and category, including collection development policies and past collection assessments. In addition, the bibliographer should look at academic programs and curriculum emphases which shaped the collection in the past and which influence current acquisitions policies. This investigation would identify the user population, degree programs, the scope and special foci of educational and research programs, and related interdisciplinary studies.

2. Assessment of the Collection

The goal is an in-depth assessment of the collection - that is a careful determination of its scope, depth, and quality. To allow for valid comparisons among libraries, each library must assess its collection on a standardized scale. Underlying the assessment of the collection for NCIP is a general process that involves the components of information-gathering, interpretation and analysis, and establishment of collection levels, language codes, and notes.

a. Information-gathering. Several kinds of information about the collection are essential in determining its depth and breadth. To complete the worksheets the bibliographer must identify several characteristics of the collection, including: types of materials collected currently and in the past; the currency of publications; the presence of primary sources; coverage of foreign language materials; and special treatments. Obviously, bibliographers will need to focus on identifying degree of coverage by different forms of literature, depending on the subject - e.g. journal literature for the physical sciences.

b. Interpretation and analysis of the data. In interpreting the information gathered about the collections, it is important that the bibliographer describe the collections relative to national collections and not just relative to local programmatic needs. To ensure valid comparability, assessments should be based on a broad understanding of the universe of existing publications. This requires cognizance of the bibliography in the field, understanding of the holdings of the largest collections, and knowledge of current publications and the book trade. The Manual for the North American Collections Inventory Project suggests several tools that can assist bibliographers in this process. c. Establishment of collection levels, language codes, and notes. The most important and intellectually demanding task is to assign the levels of collection intensity. The North American Inventory uses a set of six codes. These have the underlying purposes of providing a common understanding and interpretation among participating libraries; and establishing a standard language to express qualitative judgments regarding the level of collections. To that end, the codes which follow are used:

COLLECTION LEVEL CODES

LEVEL 0; OUT OF SCOPE: the library does not collect in this area.

LEVEL 1; MINIMAL LEVEL: A subject area in which few selections are made beyond very basic works.

LEVEL 2; BASIC INFORMATION LEVEL: A collection of up-to-date general materials that serve to introduce and define a subject and to indicate the varieties of information available elsewhere. It may include dictionaries, encyclopedias, access to appropriate bibliographic data bases, selected editions of important works, historical surveys, bibliographies, handbooks, a few major periodicals, in the minimum number that will serve the purpose. A basic information collection is not sufficiently intensive to a support any advanced undergraduate or graduate courses or independent study in the subject area involved.

LEVEL 3; INSTRUCTIONAL SUPPORT LEVEL: A collection that is adequate to support undergraduate and MOST graduate instruction, or sustained independent study; that is, adequate to maintain knowledge of a subject required for limited or generalized purposes, of less than research intensity. It includes a wide range of basic monographs, complete collections of the works of more important writers, selections from the works of secondary writers, a selection of representative journals, access to appropriate non-bibliographic data bases, and the reference tools and fundamental bibliographical apparatus pertaining to the subject.

LEVEL 4; RESEARCH LEVEL: A collection that includes the major published source materials required for dissertations and independent research, including materials containing research reporting, new findings, scientific experimental results, and other information useful to researchers. It is intended to include all important reference works and a wide selection of specialized monographs, as well as a very extensive collection of journals and major indexing and abstracting services in the field. Pertinent foreign language materials are included. Older material is retained for historical research.

LEVEL 5; COMPREHENSIVE LEVEL: A collection in which a library endeavors, so far as it is reasonably possible, to include all significant works of recorded knowledge (publications, manuscripts, other forms), in all applicable languages, for a necessarily defined and limited field. This level of collecting intensity is one that maintains a "special collection"; the aim, if not the achievement, is exhaustiveness. Older material is retained for historical research.

Establishing the collection levels is a challenging task. To aid bibliographers in this task, several special tools are available. The most important is the expanded guidelines which have been developed for use with selected conspectus divisions. These guidelines supplement the general collection level definitions and identify types of materials appropriate for specific levels. While supplementary guidelines are not yet available for all divisions of the Conspectus, plans are underway to prepare additional instructions to accompany each conspectus division.

Closely linked to the collecting levels is the language coverage, and the representation of English and foreign language materials is a critical dimension in evaluating and describing collections. Indeed, in many subjects language coverage may determine the appropriate collection level.

The primary purpose of the language codes is to indicate the language priorities and limitations that govern the library's collecting policies. As with the collection levels, language coverage must be viewed within the context of the existing publications and must be based on an evaluation of the universe of publishing output in the field. The following language codes should be used in conjunction with the collection level codes:

Language Code E: English language material predominates; little or no foreign language material in the collection.

Language Code F: Selected foreign language material included in addition to English language material.

Language Code W: Wide selection of material in all applicable languages. No programmatic decision is made to restrict materials according to language.

Code Y: Material is primarily in one foreign language. The overall focus is on collecting material in the vernacular of the area.

Finally, notes may be used to highlight special strengths or policies. There are two types of notes in the Conspectus: scope notes and comment notes.

Scope notes are used at the subject category level to provide information about special collections or collecting policies which apply to more than one subject.

Scope notes may also be used to describe other policies, such as inclusion or exclusion of satellite libraries, to note changes in acquisition plans, to highlighty significant microform collections, or to identify notable non-print collections.

Comment notes are used at the detailed subject level to indicate strong collections which make up only a portion of that subject, to note chronological and geographical strengths, or to highlight specialized collections and particular formats such as films, musical scores, or manuscripts. Conversely, notes may also be used to indicate geographical or chronological exclusions.

Using the collection level and language codes, the bibliographer will establish the following data elements for each line of the subject division of the Conspectus:

- collection level code for the existing collection
- language code for the existing collection
- collection level code for the current collecting intensity
- language code for the current collecting intensity
- notes if appropriate

3. Review of completed worksheets.

The bibliographer should carefully review the completed worksheets to ensure that all relevant segments of the collections have been considered, including materials classed in non-LC classification systems, arranged by format without a classification, or housed in a separate branch library. Moreover, the review provides an opportunity to fine-tune the assessments through additional testing and to consult with other bibliographers. This last step is particularly important when the conspectus worksheets involve several subdisciplines that may be the responsibility of a number of bibliographers. In addition, the review allows comparisons of the library's collection levels with those reported by other libraries. Such comparisons not only provide a general framework within which to consider the library's collections, but they also offer information on the collection levels of specific libraries. Finally, the review verifies that values have been reported for each line, including zeros for segments on the worksheets that are out-of scope for the library, and that notes are constructed clearly and concisely.

4. Reporting results.

In most cases, conspectus sheets will be completed by a number of bibliographers, and the individual completed worksheets need to be combined into a library-wide document. Depending on the organizational structure of the library, this process of integrating all responses will be carried out by the librarian responsible for collection coordination, a committee of collection development librarians, or a designated bibliographer.

Guidelines for delivering the completed worksheets to RLG for inclusion in the North American Collections Inventory are available from the ARL Office of Management Studies.

5. Verification of assessments

The dual need to provide baseline data to guide selectors in their collection evaluations and to ensure the accuracy of local collection assessments has led to the initiation of a program of verification studies. The conspectus-based verification studies have two important advantages: they provide a standard approach for assessing particular segments of the Conspectus; and they offer comparative data from participating libraries. Recognizing that the results of collection assessments are more valid when the results of more than one method are combined, two types of verification studies have been developed:

A. Citation and Reference Studies and Analyses. These studies test specific conspectus subject lines or a combination of lines; they are prepared on the basis of a carefully drawn sample that represents the universe of available publications in the field. These lists are checked in each library and the percentages of holdings are reported. Although the results do not absolutely define the appropriate collection levels, taken together the reported results indicate ranges of holdings expected for each collection level.

B. Shelflist Measurements. Shelflist measurements can be taken for each line of the conspectus in a given division. The reported measurements permit an analysis of comparative holdings and suggest ranges of holdings corresponding to specific collection intensity codes.

While efforts to develop additional verification studies are underway, they are presently available in a limited number of subjects. In addition to the need for further studies, there is also a need to provide a means of sharing the results of validation tests among libraries. To that end, a clearinghouse for verification studies has been established by the Assocation of Research Libraries, Office of Management Studies. The main function of the clearinghouse is to facilitate access to available studies, to provide information on results, and to assist in the development of additional studies.

At the same time, it is important to note that the verification of collection levels is an evolutionary process. While it is desirable that libraries test the validity of their assessments, a phased process allows libraries to participate as time and staff allow. Libraries may decide to undertake verification studies only for selected subjects which are of special interest to them, postponing verification of other areas. The verification studies are optional tools offering libraries the opportunity to assess their collections through a standardized approach.

III. Description of Conspectus On-line

The RLG Conspectus On-line, a machine-readable file currently containing detailed descriptions of selected collections of RLG libraries, the library of Congress, and other ARL libraries, is available through the Research Libraries Information Network. Libraries participating in NCIP will submit their collection assessments for input into the online computer file; and all libraries with an RLIN search account can access this data base from dial-up terminals.

The file can be searched interactively. Access points include subject words and phrases, institutions, Library of Congress classification numbers, and collection levels. In this special data base it is possible to retrieve data from several different divisions of the Conspectus by searching for index values common to all of them.

Detailed instructions for using the RLG Conspectus On-line are given in the User's Manual which may be obtained from the Office of Management Studies.

In addition to the online access, printouts of the data for each contributing library or for a statewide or regional group of libraries are available. The printouts are useful tools and can be used in a variety of ways. Some bibliographers make printouts of the library's data for the subjects for which they are responsible, thus bringing together all aspects of a given subject. Other bibliographers use printouts of the data of a specific group of libraries to aid them in relating selection decisions to collection strengths at other libraries. Still other bibliographers use the printouts for a specific subject as the starting point for formulating a local collection development policy.